SOPAG Statistics Task Force Report – Joanne Miller (SLP), Susan Parker (UCLA), Kevin Ruminson (UCI), Lorelei Tanji (UCI)

Draft 11/3/08 lt; 11/06/08 jwm &lt

I. Background

From 2005-07, the Office of Systemwide Library Planning (SLP), with endorsement from the University Librarians, implemented a two-phase revision and update of its annual statistics collection process in order to account for the emergence of electronic collections, resources, and services, and the establishment and growth of shared systemwide collections and services. In addition, the revision was an attempt to better align with the definitions and data categories of the Association of Research Libraries (ARL), of which seven UC campuses are members. SLP's goal was to offer measures that would more accurately reflect the current holdings, services, and use of the UC Libraries. However, some of the data collected from campuses during that period surfaced a number of issues, which were relayed to the University Librarians in February, 2008 (see Appendix E).

In May 2008, the UC University Librarians (ULs) charged SOPAG (see Appendix C) to conduct a thorough review of the UC Libraries' data collection practices that support budgeting, planning, and reporting obligations of the campuses, UCOP, and external agencies. The charge mentioned the possibility of eliminating unnecessary reporting as well as identifying systemwide library data needs that are not currently met. SLP publishes the annual statistics at (http://www.slp.ucop.edu/stats/).

The charge to SOPAG included the following:

- Recommend changes in annual reporting of statistical data to UCOP, in light of considerations such as needs of internal offices and external agencies, relevance of the data, and workload, with rationales for the recommended changes.
- Provide a plan for campus review and testing of any proposed changes in collection methods.
- Provide a plan and schedule for implementation of changes

II. Methodology

To accomplish its charge, SOPAG formed a small Task Force to review systemwide collection of library statistics.

First, the TF did an environmental scan and compiled an overview of library statistics with the help of Kevin Ruminson (UCI), Gary Lawrence (SLP), and Joanne Miller (SLP) (see Appendix D). In terms of scope, the TF focused on the following forms and schedules:

- Library statistics materials schedules (A-F) (See Appendix F)

- Library budget and expenditure reporting materials schedule (3a-3b) (See Appendix F)

- Unit values use for insurance of library materials
    (http://www.slp.ucop.edu/stats/unit_value_08.pdf)

The TF decided not to address data collected by CDL for shared services (VDX, UC-eLinks, etc.) and shared collections, since that assessment will be done separately by the CDL.

Second, the TF distributed a survey to find out whether the annually collected and reported statistics were used by campus libraries and for what purposes. Campus libraries selected the "stakeholders" to respond to the survey and SOPAG members provided a consolidated campus response. The stakeholders ranged from University Librarians to Budget Analysts; the majority of the survey respondents were library administrators.

The goal of the survey was to find out:

- What data should be collected routinely from all campuses in order to describe and assess the quality and developmental progress of the UC Libraries to constituencies outside the Libraries?

- What data should be collected to support ongoing systemwide strategic planning for the UC Libraries as a system?

- What data must be collected to support systemwide and external administrative reporting requirements?

- What data must be routinely collected from campuses to ensure the effective planning, deployment, and management of systemwide library services?

III. Observations

See Appendix A for a complete summary of the survey responses. In general:

1. Responses were very diverse, and in some cases, additional follow-up with respondents would help to clarify the intent of the suggestions for changes and to explore potential solutions.

2. Systemwide statistics are mainly used for (in order): Planning, Strategic Communication and Operational Management.

3. Respondents recommended that we continue collecting the UC Library Statistics on an annual basis.

4. Several campuses mentioned that the data we collect should continue to be similar to that of ARL (and AAHSL, for the health science libraries) so that it does not create an undue burden in terms of data collection.

5. The Unit Values chart (http://www.slp.ucop.edu/stats/unit_value_08.pdf) is compiled by SLP without the need to ask campuses for data every year. All campuses indicated that they used this chart for various risk management or insurance valuation purposes.

6. In response to the question of how to "tell the story" of the UC Libraries, respondents suggested sharing more information about library services, and the quantity and use of digital collections/electronic resources. (See Question 4 in the Summary of Results, Appendix A.)

7. Campus libraries expressed interest in having Systemwide support for more statistics kept on: library services, digital collections, expenditures and numbers of Tier 1 vs. Tier 2 titles. Many requested clearer definitions of statistical categories.

8. The majority of the campuses advocated for the need to track statistics both as a system and also separately by campuses.

9. Some suggestions for changes were made with the realization that either they cannot be changed (e.g. Governor's Budget asks for data by the categories Reference/Circulation and Acquisitions/Processing) or that there might not be a cost-benefit to the system in making a change (e.g. coming up with less granular format categories for the unit values chart would require a great deal of analysis in terms of establishing market costs for risk management).

IV. Recommendations

1. **Proposed data collection changes and new measures**

We recommend that the SLP take into account the survey responses for problems in collecting existing data and suggestions for collecting new data on library services, e-resources, and digital collections. SLP should consider what should be retained or dropped from the current statistical program, and what new measures should be developed to support the campus needs. The availability of the data and the workload and ongoing sustainability implications of programs to gather and process them should also be taken into consideration. The Task Force recommends that SLP submit a proposal for changes to the ULs in time for their March 2009 meeting.

2. **Timeline for UC Library Statistics – Keep the current timeline**

The majority of the respondents recommended that we keep the current late September due date for the statistics schedules. A few campuses mentioned that compiling systemwide data helps with reporting AAHSL and ARL data later in the year.

3. **Definitions**

Some campus libraries thought that the definitions for terms like e-books, electronic reference resources (Schedule F) needed clarification. As necessary, SLP should follow-up with respondents or other library staff to clarify the issues and identify possible solutions.

4. **Serials**

Serials and the way they are counted are also problematic. The TF consulted Martha Hruska (UCSD) and Chuck Eckman (UCB), who are members of the ARL Ad Hoc Task Force on Best Practices for Counting Serial Titles (2008). This group is charged to review the newly implemented instructions for counting serials and serial title counting practices reported by ARL member libraries and to identify best practices that can be applied to simplify the process for libraries in coming years. We recommend that SLP and campus libraries monitor the best practices of ARL for counting serials and come up with a standard way for the UC Libraries to de-dupe their serials titles.

5. **Data display/reporting**

There were several suggestions for improving the display of data that SLP should consider or explore.

V. Plan and Timetable

Part of the ULs' charge was to develop a plan for campus review and testing of the proposed data collection methods and implementation of revised data collection methods.

Per the ULs' charge:

> *The intent of the University Librarians is that any proposed changes in data reporting methods would be carefully reviewed by the campus libraries in the last half of the 2008-09 fiscal year and put in place for the 2009-10 fiscal year: i.e., data would be collected in the new formats during 2009-10 for reporting to UCOP in the summer and fall of 2010. We recognize that the nature and extent of the changes recommended may suggest, in turn, the need for testing of new procedures and methods.*

We recommend the following timetable:

November – March 26: Joanne Miller (SLP) take into consideration the results of the survey and draft some recommendations for changes in the collection of library systemwide statistics in time for the UL/SOPAG March 26, 2009 meeting.

 March 26-May 29: Campus libraries review proposed changes and submit comments to SLP.

June 1-30: SLP finalize new methods or formats for collecting statistics.

July 2009-June 2010: Campus libraries collect statistics in the new formats for reporting to UCOP in the summer and fall of 2010.

VI. Appendices

Appendix A. Summary of Results from Survey on Systemwide Statistics. Compiled by Kevin Ruminson (UCI Director of Planning, Assessment and Research, UCI Libraries).

Appendix B. Example of Survey Instrument

Appendix C. ULs Charge to SOPAG—Request to SOPAG to review and recommend changes to current practices for systemwide collection of library statistics (May 2008).

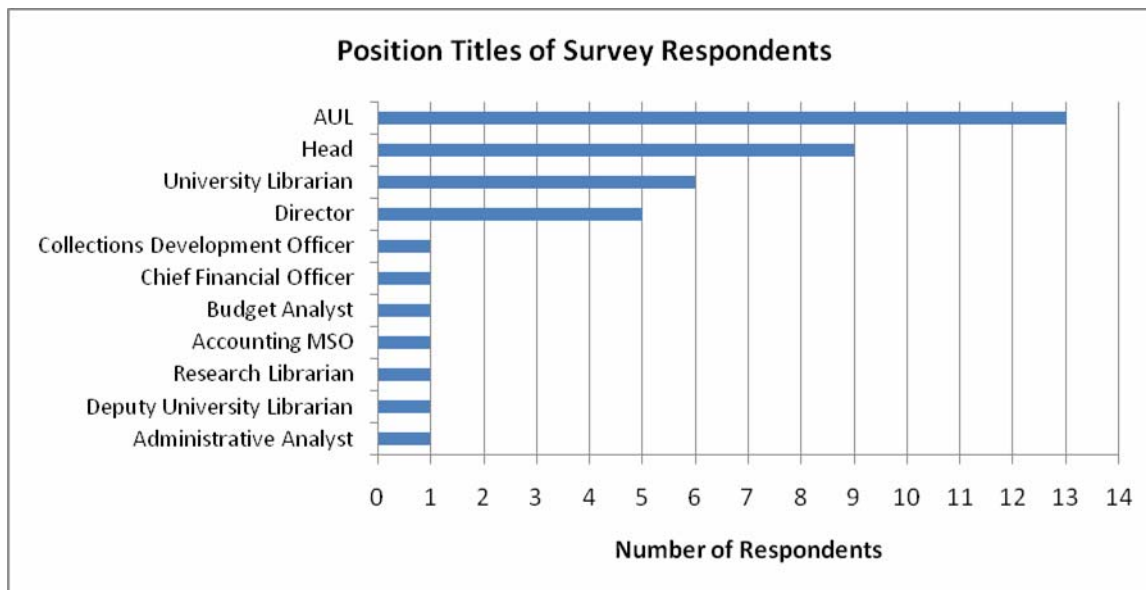Appendix D. Overview of Library Statistics (Draft, 5/6/08; K. Ruminson/G. Lawrence)

Appendix E. Issues in Collection of Data Relating to Digital and Shared Library Collections (Systemwide Library Planning, January 29, 2008)

Appendix F. Forms and Schedules used to collect statistics and budget information.

SUMMARY OF RESULTS FROM SURVEY ON SYSTEMWIDE STATISTICS

1. Names and positions titles of respondents:

Campuses listed a total of 40 individuals who responded to the survey. General position titles for these individuals are listed below:
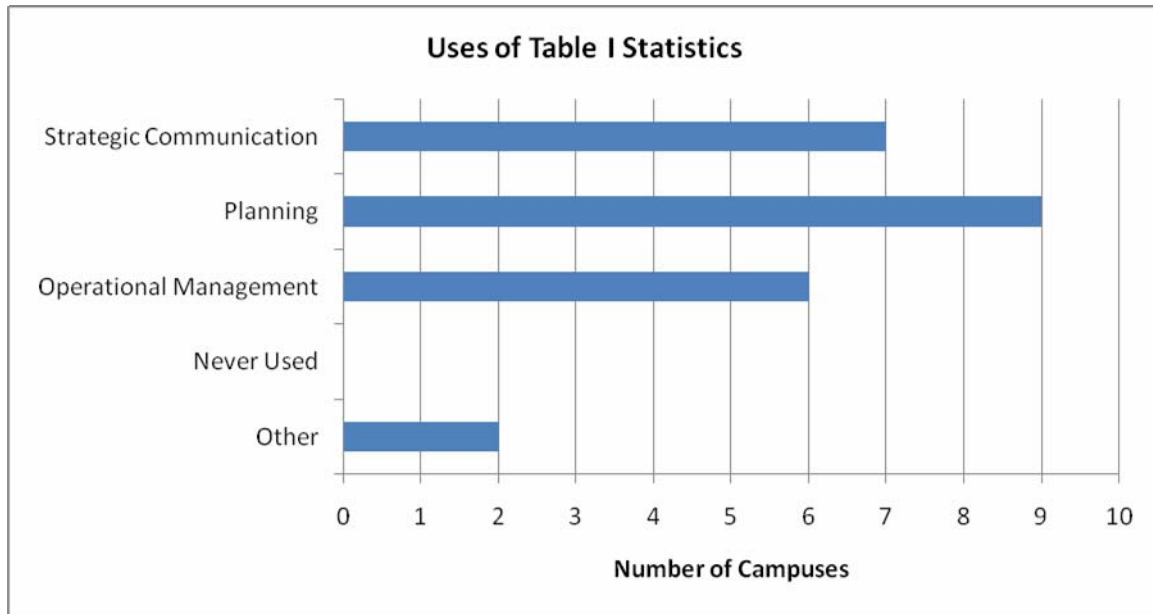

Position Titles of Survey Respondents

Campus	Respondents
Berkeley	Elise Woods (Chief Financial Officer); Chuck Eckman (AUL Director of Collections)
Davis	Cindy Castaneda (Accounting MSO); Helen Henry (AUL for Admin Services); Mary Page (AUL for Technical Services); Gail Yokote (AUL for Sciences & Technology)
Irvine	Gerry Munoff (University Librarian); Lorelei Tanji (AUL for Collections); Carol Hughes (AUL for Public Services); Kevin Ruminson (Director of Planning, Assessment & Research); Mitchell Brown (Research Librarian)
Los Angeles	Leslie McMichael 9Administrative Analyst); Susan Parker (Deputy University Librarian)
Merced	R Bruce Miller (University Librarian)
Riverside	R. Jackson (UL); D. Bisom (SOPAG, AUL IT&S); B. Schader (AUL SC&C); A. Frenkel (AUL R&IS); D. Rios (AUL A&P)
San Diego	Luc Declerck (AUL, Technology Services); Catherine Friedman (AUL, User Services); Maureen Harden (Director, Administrative Services); Tony Harvell (Head of Acquisitions); Martha Hruska (AUL, Collection Services); Brian Schottlaender (University Librarian)
San Francisco	Karen Butter (UL); Julia Kochi (Director); Jim Munson (Director); Gail Persily (Director)
Santa Barbara	Lucia Snowhill (Head, Collection Development); Brenda Johnson (University Librarian); Gary Johnson (Head, Access Services); Mary Larsgaard (Head Map & Imagery Lab); Susan Moon (Head, Arts Library); Sherry DeDecker (Head, Information Services); Catherine Nelson (Head, Serials Dept.); Brenda Peter (Head, Acquisitions)
Santa Cruz	Cynthia Firenzi (Budget Analyst, Library Administration); Lai-Ying Hsiung (Head of Technical Services); Martha Ramirez (Collections Development Officer)

Table I: Bound Volumes and Print Serials Received Currently (Schedule A)
Uses:

Comments & Suggested Changes:
- This table should focus on the total resources that are available through each of the campus libraries.   Unless CDL pays the full cost for the resource, the resource should be reportable by the campus. Definitions should be identical to ARL statistics.
- Add language from the ARL instructions to clarify that these numbers include electronic books and online serial titles, not just bound volumes and print serials.
- The title of this table implies only tangible items, even though the statistics include e-books and e-journals. Change the title to reflect what's actually included. It would be useful to reflect print and electronic resources in both categories separately to begin to show the trends toward e-collections.
- Would like to continue reporting by print and electronic serials as in FY 06/07
- If the data has been coded, defined and collected in a consistent way across campuses, it could be very useful, especially when we are now moving towards greater collaboration in technical services operations.
- No response (5 campuses)

Stop Collecting or Keep Collecting?
- Keep Collecting: 8 campuses
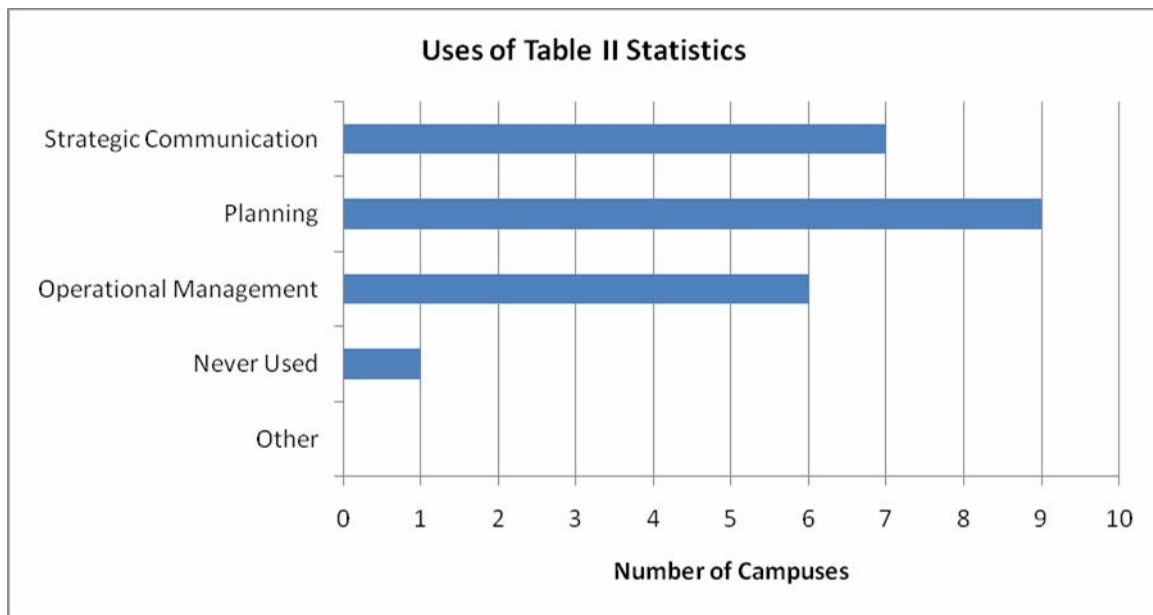- Neutral: 1 campus
- No Response: 1 Campus

Recommended Frequency for Collecting:
- Annual: 9 campuses
- No Response: 1 campus

Table II: Other Library Materials (Schedule A)

Uses:

Comments & Suggested Changes:

- This table should focus on the total resources that are available through each of the campus libraries. Unless CDL pays the full cost for the resource, the resource should be reportable by the campus. Definitions should be identical to ARL statistics.
- Add language from the ARL instructions to clarify that these numbers include electronic books and online serial titles, not just bound volumes and print serials.
- The title of this table implies only tangible items, even though the statistics include e-books and e-journals. Change the title to reflect what's actually included. It would be useful to reflect print and electronic resources in both categories separately to begin to show the trends toward e-collections.
- Would like to continue reporting by print and electronic serials as in FY 06/07
- If the data has been coded, defined and collected in a consistent way across campuses, it could be very useful, especially when we are now moving towards greater collaboration in technical services operations.
- No response (5 campuses)

Stop Collecting or Keep Collecting?
- Keep Collecting: 8 campuses
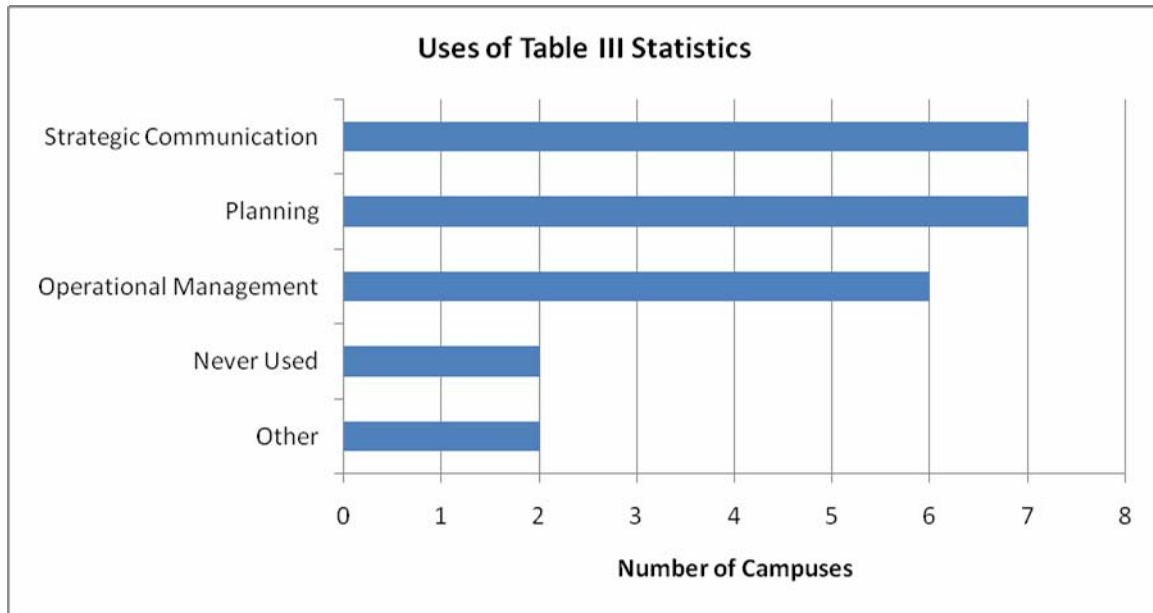- Neutral: 1 campus
- No Response: 1 Campus

Recommended Frequency for Collecting:
- Annual: 9 campuses
- No Response: 1 campus

Table III: Interlibrary Transactions: Interlibrary Loans (Schedule C)
Uses:

Appendix A

Uses of Table III Statistics

Comments & Suggested Changes:
- We are only interested in the aggregated data.
- Used for planning staffing needs in ILL as well as for looking at acquisitions needed based on demand
- No Response (8 campuses)

Stop Collecting or Keep Collecting?
- Keep Collecting: 7 campuses
- Neutral: 1 campus
- No Response: 1 Campus
- Stop collecting campus specific data, but Keep totals: 1 campus

Recommended Frequency for Collecting:
- Annual: 8 campuses
- No Response: 2 campuses
- Other comments: Staff can develop these stats @ any interval directly from the VDX

Table IV: Interlibrary Transactions: Copies in Lieu of Loan (Schedule C)
Uses:

Comments & Suggested Changes:
- We are only interested in the aggregated data
- Perhaps most important in interpreting demand for licensed content and hard to find print serials
- No Response (8 campuses)
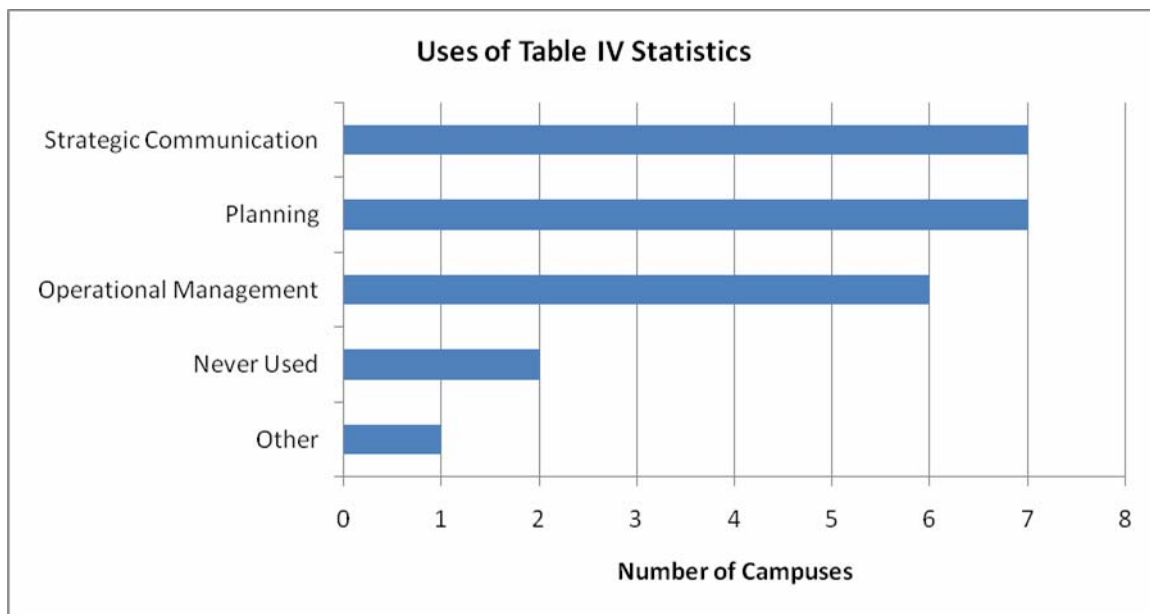
Stop Collecting or Keep Collecting?
- Keep Collecting: 7 campuses
- Neutral: 1 campus
- No Response: 1 campus
- Stop collecting campus specific data, but Keep totals: 1 campus

Recommended Frequency for Collecting:
- Annual: 7 campuses
- No Response: 3 campuses
- Other comments: Staff can develop these stats @ any interval directly from the VDX

Table V: Adjusted Budget (Table 3a)
Uses:
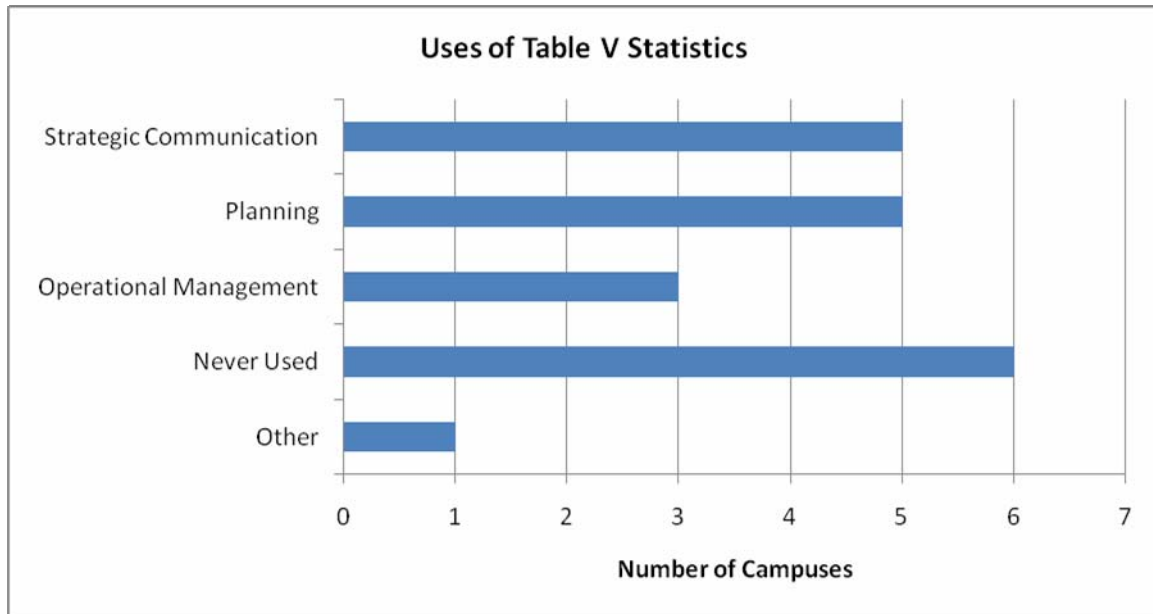
Comments & Suggested Changes:
- If possible, remove the distinction between Reference/Circulation and Acquisitions/Processing
- We understand that this data goes to the Governor for the state budget.
- Not as useful as actual
- Could be derived by formula from total actual expenditure and total budgeted funds
- No Response (6 campuses)

Stop Collecting or Keep Collecting?
- Keep Collecting: 5campuses
- Neutral: 2 campus
- No Response: 3 campuses

Recommended Frequency for Collecting:
- Annual: 5 campuses
- No Response: 5 campuses

Table VI: Actual Expenditures of Budgeted Funds (Table 3b)
Uses:

Comments & Suggested Changes:
- If possible, remove the distinction between Reference/Circulation and Acquisitions/Processing.
- We understand that this data goes to the Governor for the state budget.
- Almost always used as a significant indicator of library contribution to campus mission and value
- Could be derived by formula
- No Response (6 campuses)
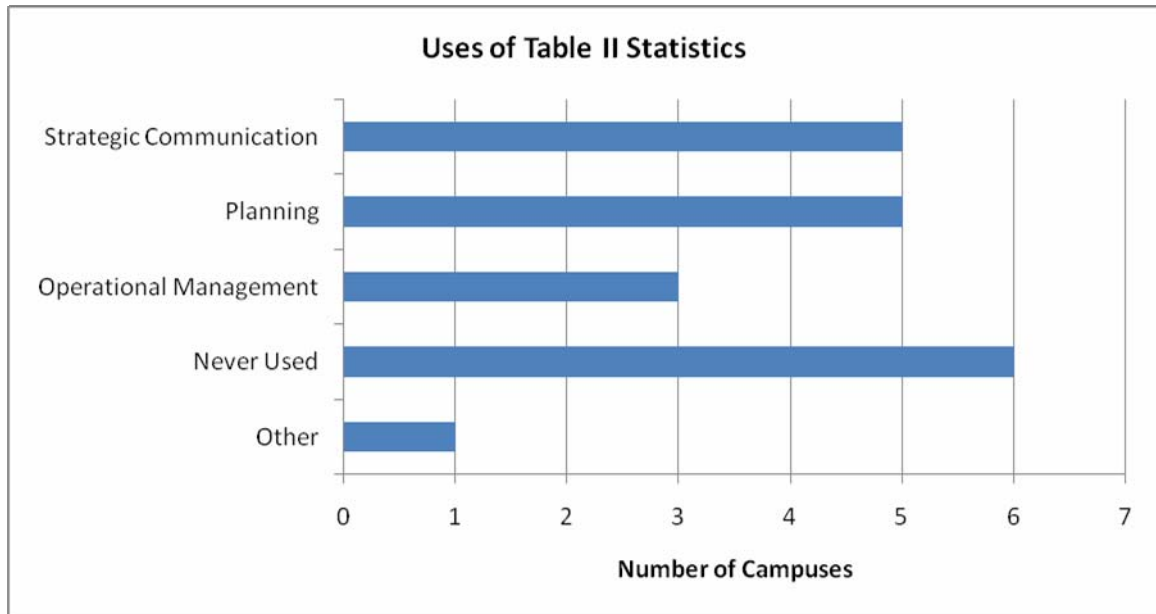
Stop Collecting or Keep Collecting?
- Keep Collecting: 5 campuses
- Neutral: 2 campuses
- No Response: 3 campuses

Recommended Frequency for Collecting:
- Annual: 5 campuses
- No Response: 5 campuses

Table VII: Estimated Number of Items Checked Out Distributed by User Category (Schedule E) Uses:

Comments & Suggested Changes:
- We are only interested in the total of initial circulations. We also track the number of renewals for the Association of Academic Health Sciences Libraries (AAHSL) statistics.
- Always used for communications to constituent groups and for understanding how to deploy internal resources; understanding who uses our libraries, and how much
- No Response (8 campuses)

Stop Collecting or Keep Collecting?
- Keep Collecting: 6 campuses
- Keep total circulation (1 campus)
- Neutral: 2 campus
- No Response: 1 Campus

Recommended Frequency for Collecting:
- Annual: 7 campuses
- No Response: 3 campus
- Other Comments: We can pull this data from Aleph at any time interval

Table VIII: Selected Services & Transactions (Schedule E)Uses:
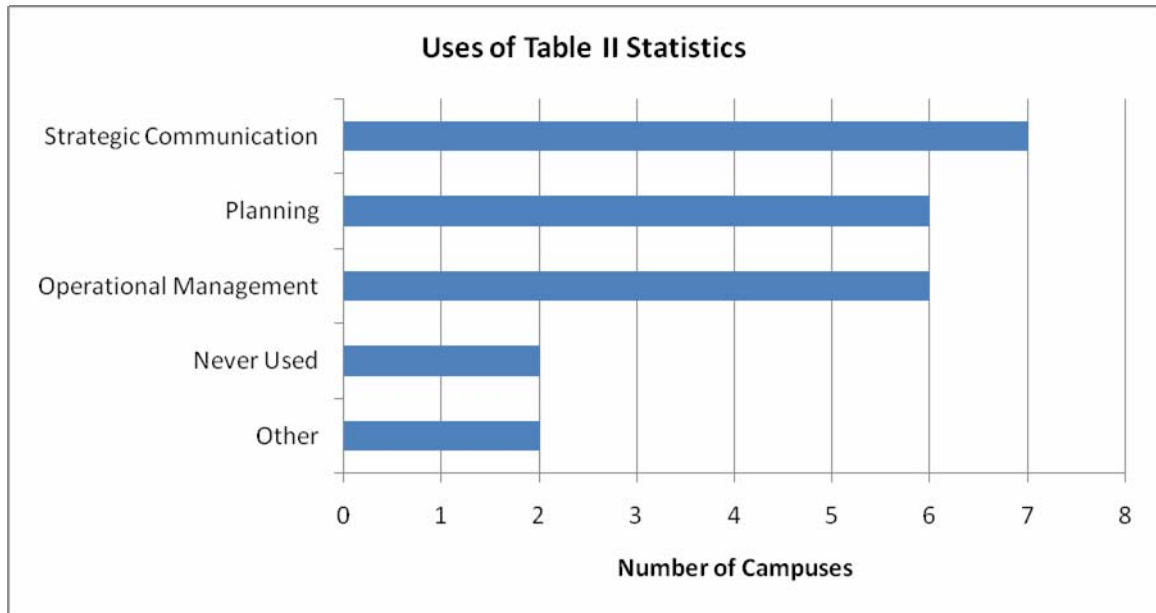
Comments & Suggested Changes:
- Make it clear in instructions for 1.d. (virtual reference), that when we are including statistics from participation in local/national projects (such as Digital Ref), that we count stats for local campus participation only.
- Important information about how much libraries are used
- No response (8 campuses)

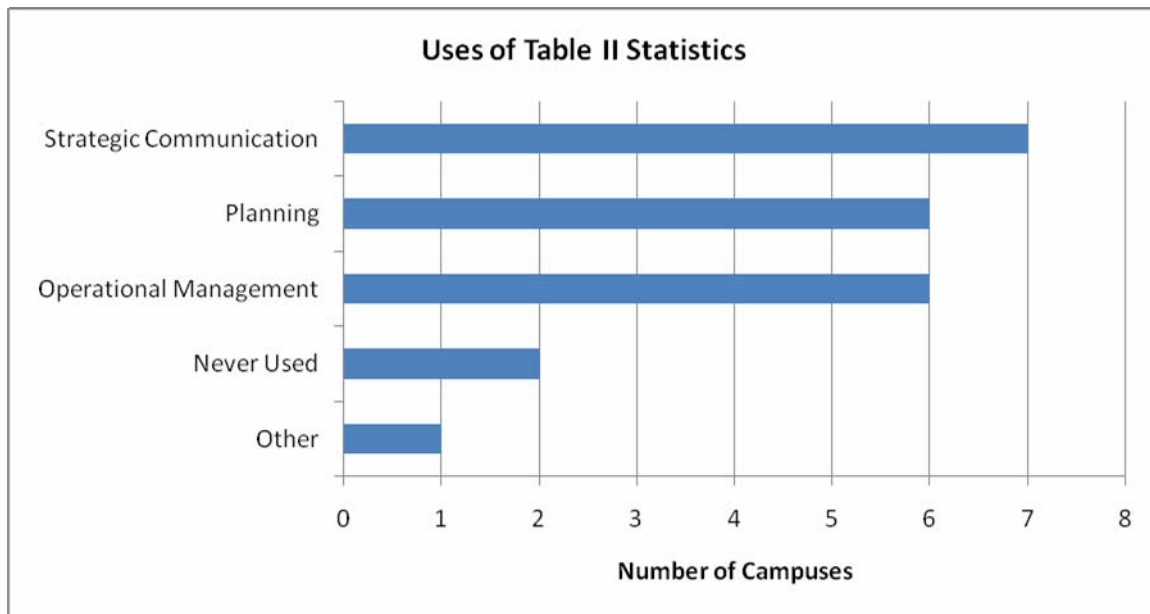**Stop Collecting or Keep Collecting?**
- Keep Collecting: 8 campuses
- Neutral: 2 campus

Recommended Frequency for Collecting:
- Annual: 8 campuses
- No Response: 2 campus

Appendix A

General Comments about Systemwide Statistics:

- Davis
  - All of these tables contain data which are used by other organizations than UCOP: ARL and AAHSL. Thus, it is not worth removing from UCOP requested statistics.
- Irvine:
  - In all cases above where "Other" (⑤) was selected, one individual reported that these statistics were used for informational purposes only.
  - Very few individuals within the UCI Libraries use the UC Systemwide Statistics. Most strategic communication, planning, and operational management needs are met by the statistics that we collect for ARL or by statistics that we collect for our own use.
  - Tables I and II may be important for planning purposes to the extent that the UC system will continue to utilize its "Library Facilities Planning Standards" for justifying new library construction. However, these standards do not involve inter-campus comparisons, so campuses could theoretically collect these data on their own when planning for new library construction.
  - To ease the data collection burden on ARL Libraries, UC Systemwide statistics should mirror ARL statistics as closely as possible.
  - One respondent was interested in dynamically generated reports of ILL activity on a monthly basis, although this level of detail is beyond the scope of the systemwide library statistics program.
- Merced:
  - Table 1 is sometimes used because it is available. The total volume count is used to "tell the story". Without the data a gross estimate would suffice.
- Riverside:
  - Table I: Other – Used for Audit Reports
  - Table III: Other – Used for Collection Development decisions
  - Table VII: We report this data to the State Library. How does UCOP use this?
  - If UCOP does not use, this could be eliminated as any library who wishes to could collect these statistics internally.
- San Francisco:
  - We have a separate organization to whom we provide statistics, Association of Academic Health Sciences Libraries (AAHSL). We compare our data to other health sciences libraries of like size rather than to our sister UC campuses.

3. Unit Values Chart

Uses of Table II Statistics
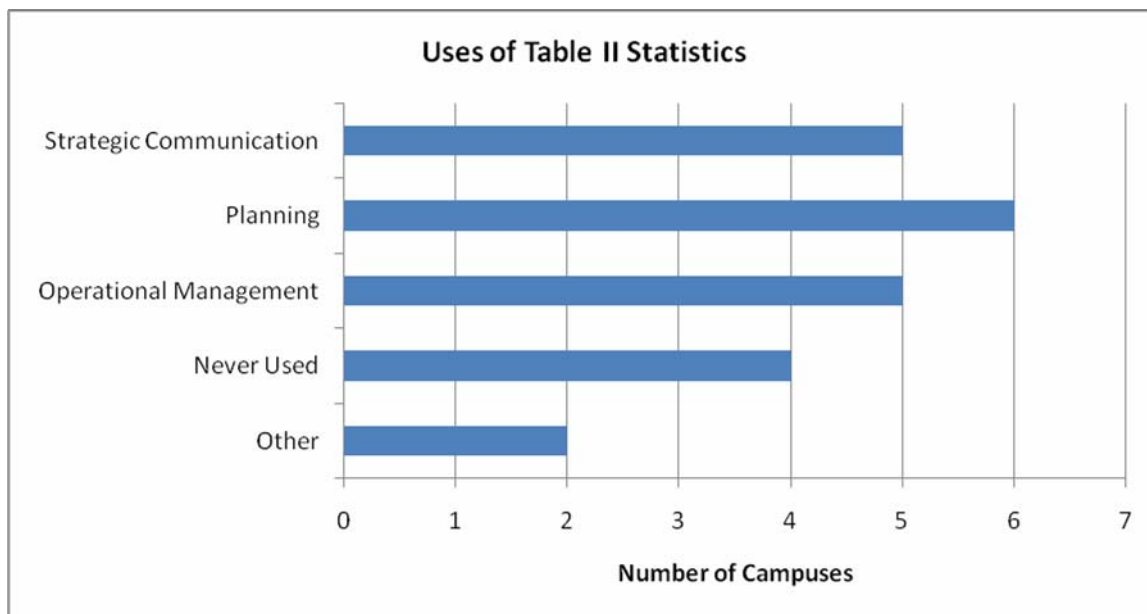
Comments

- Berkeley:
  - These statistics are used for completing reports required by the UC Accounting Manual to comply with LIBRARIES AND COLLECTIONS: CAPITALIZATION; L-316-11; Page 2 ACCOUNTING MANUAL;6/30/05 TL 94 LIBRARIES AND COLLECTIONS: CAPITALIZATION
- Davis:
  - Used for Library Annual Risk Management Report
- Irvine:
  - One individual from the UCI Libraries reported using these data to help value gifts. This individual also suggested that the chart could be used to estimate losses in the event of significant damage to the collection.
- Los Angeles:
  - Sometimes this is used by the Library Business Services Office, sometimes by the Preservation Librarian or Conservation Officer. Only needed when we have an insurance claim, but even though this is infrequent, it is vital.
- Riverside:
  - Library Administration has used this data in preparing for, and during, audits. Also, it has been used to evaluate the value of specific collections.
  - What specific information across the campuses is used to generate the cost for serials as reported in this table? The General Information document refers to following the ARL guidelines for Schedule A, but Schedule A does not report the number of total serials volumes held. Clarification would be helpful to determine how the number of serial volumes is determined and how the attendant cost data are derived.
- San Francisco:

- o We need to use the data to prepare the Libraries and Collections—Capitalization Schedule for the UCSF comptrollers' office which then sends it on to UCOP.
- Santa Barbara:
  - o Essential as long as the University is self-insured.

4. In order to "tell the story" of the UC Libraries (or your campus library), what systemwide statistics are needed that are not currently being collected?

- Berkeley:
  - o a. Continue to annually collect and broadly disseminate the information gathered in "Selected Information Regarding Shared Digital Collections and CDL-Hosted Shared Services". These really tell the story in so many ways beyond the core data tables.
  - o b. Collect and disseminate FTE counts by staff category for campus and CDL.
  - o c. Closely review the Accountability Report and identify other measures that will allow UC to be accountable in relationship to UC faculty and student access to 1) information resources and 2) information literacy training resources. This is critical to giving a true picture of accountability in University planning.
- Davis
  - o Gate counts.
- Irvine
  - o A service focus rather than raw collection-count focus.
  - o Measurements of systemwide activity for services such as Ask a UC Librarian
  - o Use of systemwide e-resources.
  - o Gatecounts/use of facilities
  - o Outreach activities
  - o Storage needs
  - o Counts of study seating and public computers.
- Los Angeles
  - o Systematic collection of information about hits to specific electronic content offered, including licensed content but also content owned and produced by each library. We need to show how our electronic collections are accessed: how often, by whom. Without this kind of statistic, and others that measure the virtual use of our resources, it is really difficult to demonstrate the total value add of the library per dollar spent, and it is impossible to show that the library is not just a study hall and storage place with books.
- Riverside
  - o Electronic Resources – use, holdings, and expenditures – by sub-categories of e-books, e-journals, databases, reference resources.
  - o Usage statistics for library websites and library catalogs.
- San Diego
  - o Gatecounts
  - o Continuations as a percentage of the collections budget is very meaningful to look at future impact of budget reductions.

- o Accessible titles is more important than currently received serials, because we are often paying for large electronic retrospective collections that are not "currently received." So much content is embedded in aggregated databases that title counts for "currently received" is not easy to get, and often includes "selected full text" or embargos.
- o Titles unique to a UC campus would be interesting – but hard to get!
- o Titles that have been mass digitized is important for assessing the progress of UC in this arena – campus by campus. Needs to be counted and reported by CDL, by campus of origin.
- o Instruction statistics: one-shot sessions, course-integrated sessions, and/or curriculum-integrated sessions.
- San Francisco
  - o Circulation is a small part of resource use. We need to have data on use of our electronic resources, most importantly journal articles, but also books, book chapters. Downloads would probably provide the best number to approximate the old circulation. We need data for both articles and books.
- Santa Barbara
  - o We are increasingly needing to impress on administrators and users the growth of electronic/digital resources in relation to traditional print holdings and collections—size of collections, level of use, digital reference. The current tables either mesh electronic and print or don't reflect them at all.
  - o The only statistics on staffing relate to slaries. It would be helpful to have some statistics on types of staffing by categories to help tell the story of the range of "non-traditional" positions now vital to our operations, particularly in information technologies.
  - o We should incorporate interlibrary loan transactions from our local storage facilities, not just those at the RLFs or between the campus libraries. Since all campuses are now using VDX, we can measure the performance of our ILL units in processing and delivering materials. This data can be pulled directly from the VDX transaction tables rather than requiring staff to track the life-cycle of individual transactions.

5. What statistics would you like to see more systemwide or centralized support for?

- Berkeley
  - Anything discovered in item "c" above [see response to #4]. Accountability measures should be central. Capitalization of library values for calculating the Acquisition and processing expenditures for academic and staff employees, general assistance, employee benefits, and supplies expense and equipment. (These are the same categories whichcan be found in the Library Expenditures and FTE Staff reports, tables 3a-3d, submitted to Library Affairs each fall in preparation for The Regents' Budget.)
- Davis
  - Use data for tier 1 and tier electronic resources. Use data is scattered among a number of sites: CDL, publisher, and individual campuses which manage tier 2 resources.
- Los Angeles
  - Individual library created content and holdings. Perhaps total TB maintained or created, for example.
  - Uniform treatment of serials counting so everyone counts CDL resources the same way. See below.
  - Individual library expenditure (staff and other resources) on UC wide shared services, content, etc. How much staff time goes into managing and serving these up locally; how much $$ contribution by campus to the staffing operation of shared print or RLFs.
- Riverside
  - Additional information/data about Library hours at specific points (i.e., late night or 24/7) would be helpful.
- San Francisco
  - The number of Tier 1 *titles* by broad subject discipline (both serials and monographs)
  - The number of Tier 2 *titles* by broad subject discipline (both serials and monographs)
- Santa Barbara
  - There needs to be *continuing* support for CDL to collect and report for campuses relevant statistics for both UC and ARL about tier 1 resources. It would be a considerable burden to collect these locally.
  - Whether it gets published or not, it would be useful to know internally costs such as CDL expenditures on collections, costs of digital preservation, systemwide technical support (Melvyl, etc.) (Given that most of us are new at working with these statistics, we may simply not know where to find these if they're reported separately.

- Santa Cruz
  - Clear definitions across campuses and systemwide review of the statistics and question when there are discrepancies across the campuses.

6. Timeline. Would your campus library prefer for this deadline to be changed to the same deadline as the ARL statistics (around the end of January)?

- Yes (3)
- No (5)
- Don't Care (2)

Other comments:
- No, we need to report AAHSL data in October.
- Do not make the Call for stats later, but extend the due date to allow more time to compile
- It is better to have the deadlines staggered.
- Comment: The ARL submission deadline requires advance access to the systemwide data. Please retain existing timeline.
- The timing of deadlines wouldn't be as critical if the definitions and categories for reporting UC statistics match those for ARL wherever possible, so that we spend less time interpreting/re-interpreting UC categories for ARL.   The opinions here at SB are split between changing or not, since many of the statistics are generated for internal annual reports, which are normally done in early Fall. All that said, I think we would make more progress in synchronizing definitions with ARL and UC and would save some administrative time in coordinating the reporting if we had to work on both reports simultaneously.

7. For the systemwide statistics on serials and volumes, how should the data be collected?

- Campuses should report the total resources (local & systemwide) that are available through the libraries on that campus (2 campuses)
- It is important to collect the data in both ways. (8 Campuses)

Comments:
- Berkeley
  - Until the system has a single, highly functional, electronic resource management system that allows interactive co-investment voting and an accurate record of all tier 1-2-3 resources available systemwide and at the campus level, it is essential for ensuring accuracy and comparability that tracking occur at both the Systemwide and Campus levels.

- Irvine:
  - Systemwide totals are not important to us. However, we understand that there may be a system level need for such data and it may be necessary to collect data both ways. It was difficult for us to select a response to this question, because we believe that the current distinction between "locally purchased" and "systemwide" resources is misleading in that it overemphasizes the "systemwide" contribution and does not necessarily produce an accurate systemwide total. For example, the current definition for Volumes states that we should not count "ebooks obtained through CDL licenses for which the library pays a reduced fee or no fee." Even though we are paying a reduced fee, we are expending local funds to provide access to these resource. We should be able to count such resources as "locally purchased," even if the purchase of the ebook is coordinated through CDL. Resources should be counted as "systemwide" only in cases where CDL pays the full cost of purchasing the resource. While such an approach may result in double (or more) counting of some digital resources when developing a systemwide total from campus level data, this is no different than the duplication that occurs with physical volumes. Many physical volumes are held by several or all campuses, and many libraries hold multiple copies of certain volumes. These volume are counted multiple times when developing a systemwide total. There is no attempt to weed out duplicate titles in order to develop a "unique" title count for the system. Why should we treat digital volumes any differently? If a systemwide unduplicated count of Volumes or Serial titles is desired perhaps other methods could be used to develop a realistic count of "unique" volumes or serials that treats physical and digital volumes in a similar manner.
- Los Angeles
  - Although we need to make sure users have access to all resources without having to know where they come from, it is important to be able to understand the individual library's unique holdings and differentiate them from the total systemwide resource set. It helps us to demonstrate what we are doing that is unique and special for our campus mission, and shows we value placing dollars (and counts how many we do spend) on campus specific needs.
- Merced:
  - Applies only if these data are collected. Provides a meaningful representation of what is available on each campus.
- Riverside:
  - This information is needed for ARL statistics. It would also be useful to know what total number/ percentage of the titles in the publisher's total we are receiving in our packages.
- San Francisco:
  - We have a separate organization to whom we provide statistics, Association of Academic Health Sciences Libraries (AAHSL). We need to know the total number of health science serial titles we provide for AAHSL. So, it is important to communicate both locally purchased resources and system-wide tier 1 and 2 resources.
- San Diego

- o Assumes there would be one UCOP count for all the CDL systemwide resources, and campuses would add to that for ARL. Important to get one consistent UC figure for the systemwide provided by CDL so each campus doesn't have to figure that out separately.
- o Large electronic collections with many e-monographs (e.g. EEBO, ECCO) should NOT be counted as "e-books." This is point of great confusion on many campuses and distorts the picture. There should be one consistent count for all the UCs since we have all these same packages.
- Santa Barbara:
  - o We have reasons to use the statistics both ways for strategic communication, planning, as well as operations management.

8. Apart from the collection of data, are there any changes in the way that the data is displayed or reported that you would recommend?

- Berkeley
  - o Integrate and display
    - a. Preservation statistics.
    - b. Salary data.
- Davis:
  - o Not at this time.
- Los Angeles
  - o Need an expert in the display of quantitative information to improve this. I know it is difficult and hard to understand, but I am not sure I know how to improve it. Perhaps ways to group or compare groups of campus libraries based on expenditure, or expenditure for certain resources or activities.
- Irvine:
  - o In order to tell our campus story effectively, it is important for us to report all the resources that we provide to our users, and we are able to do this through means other than the UCOP statistics. However, UCOP stats are publicly available, and the current methodology produces different numbers than we use in our strategic communications, which may be problematic at some point. Tables that display campus level statistics should present all resources provided on the campus. If a systemwide total is desired, these data should be displayed in a separate table.
  - o When definitions for statistics are significantly changed, (for example, changing from serial subscriptions to serial titles), prior year data should not be displayed in the tables. Displaying prior year data does not provide a meaningful comparison and is potentially misleading.
  - o More flexibility in downloading and viewing data would be helpful (for example, having the option of accessing data in RTF, CSV, PDF, and XLS formats).

- Riverside
    - Clarification is needed on whether ILL transactions that are managed out of Circulation departments (such as Link+) should be counted within Table III or within Table VII.
    - More emphasis could be made on evaluating statistics to identify/follow statistical trends.
    - General observation: We tend to consult ARL statistics first, then UCOP, then the State Library survey.
- Santa Barbara:
    - [There didn't seem to be a place earlier in the survey to talk about issues with Schedule F]   Schedule F has been the most difficult for us to report accurately, given all of the definition movement with ARL and the variety of sources we have to use to compile these. Counting the Electronic Reference Resources is confusing—it seems to be one category mixing local and CDL titles.   Pulling together usage statistics for this category has been particularly difficult, given the inconsistencies in data we can collect for databases not locally created and stored.   And, for all the effort of collecting these statistics, they don't seem to appear on the published statistical tables. It would be very useful to see this comparatively across campuses. I'm not sure we're reporting these accurately enough to be comparative, but I can't tell without seeing other campuses' numbers.
    - The CDL collections and initiatives are not reflected (DPR, Calisphere, etc.), which are a growing part of the overall UC libraries story.

Appendix B

Survey on Systemwide Statistics (9/30/08)

Background information on systemwide statistics

As you know, the Systemwide Library Planning unit in the Office of the President currently collects and publishes a range of statistical data from and about the UC Libraries, and uses some of these data, or provides them to other UCOP offices and external agencies, in support of a variety of budgeting, planning, and reporting obligations. Recent events have led the ULs, in consultation with SLP, to request SOPAG to review and recommend revisions to these data collection practices. These events include:

➢ Over the last two years, SLP has attempted to develop a range of new statistical measures that more adequately reflect the characteristics of our digital holdings and their use, as well as of the partially overlapping category of shared collections. SLP's first attempt to collect data from the campuses for these new measures, for the 2006-07 academic year, identified a number of difficulties.

➢ As part of the Regentally-directed restructuring and downsizing of the Office of the President, UCOP staff are carefully reviewing their current routine data collection and reporting responsibilities, with an eye to eliminating unnecessary reporting; at the same time, this downsizing will affect the capacity of SLP staff to continue to perform these responsibilities.

➢ The requirements and expectations of the external agencies to which the UC Libraries report statistical data are also changing; ARL for example, is continuously reviewing both its collection of data from members and the uses to which those data are put.

SOPAG will bring the results and recommendations from this survey to the University Librarians' meeting in November, with the intent that any proposed changes would be reviewed by campus libraries in early 2009, and put in place for the 2009-10 fiscal year.

Some external constraints will prohibit changes in some areas of data collection and reporting (e.g., budget and expenditure data that is used for the Governor's Budget requires information in certain categories, and the categories of library materials that are used for insurance values for the Office of Risk Management cannot be changed at this time.) A review of CDL statistics is not addressed in this survey as they are being undertaken as part of a larger CDL planning initiative.

NOTE: On behalf of the UC system, UCLA has already confirmed that this survey is exempt from Institutional Review Board review.

****
Instructions to SOPAG Survey Coordinators: Distribute survey to campus library stakeholders as appropriate. Ask respondents to consult broadly and provide input based on their knowledge of what is needed by their campus library. Collect the surveys and compile one consolidated response representing your campus library. Submit consolidated campus library response as an email attachment to SOPAG Chair (ltanji@uci.edu). **Deadline: 5 pm**, **Friday, October 24, 2008**.

SURVEY ON SYSTEMWIDE STATISTICS

Appendix B

1. List names and position titles of respondents: _____

2. UC Library Statistics

http://www.slp.ucop.edu/stats/

"Used For" options:

1. Strategic Communication.
2. Planning.
3. Operational Management.
4. Never use these systemwide statistics.
5. Other (please describe in the space for comments below the table).

[You can copy and paste the circled numbers into the chart: ① ② ③ ④ ⑤]

Broad Category	Used For (circle all options that apply)	Suggested Changes	Stop collecting or Keep Collecting?	Recommended Frequency for Collecting (e.g. annual)
Table I: Bound Volumes and Print Serials Received Currently (Schedule A)	1 2 3 4 5			
Table II: Other Library Materials (Schedule A)	1 2 3 4 5			
Table III: Interlibrary Transactions: Interlibrary Loans (Schedule C)	1 2 3 4 5			
Table IV: Interlibrary Transactions: Copies in Lieu of Loan (Schedule C)	1 2 3 4 5			
Table V:	1 2 3 4 5			

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Adjusted Budget (Table 3a)				
Table VI: Actual Expenditures of Budgeted Funds (Table 3b)	1 2 3 4 5			
Table VII: Estimated Number of Items Checked Out Distributed by User Category (Schedule E)	1 2 3 4 5			
Table VIII: Selected Services & Transactions (Schedule E)	1 2 3 4 5			

Comments:

3. Unit Values used for Insurance Values of Library Materials. SLP needs to continue preparing this chart for the UC Office of Risk Management. Is this information used by anyone in the library?

http://www.slp.ucop.edu/stats/unit_value_08.pdf

Broad Category	Used For (circle all options that apply)
Unit Values Chart (overall)	1 2 3 4 5

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Comments:

4. In order to "tell the story" of the UC Libraries (or your campus library), what systemwide statistics are needed that are not currently being collected?

5. What statistics would you like to see more systemwide or centralized support for?

6. Timeline. Other than the preliminary collection estimates needed by UCOP in September for the next fiscal year UC budget request (Schedule X), the deadline for other UC statistics is self-determined. Currently they are due in October. Would your campus library prefer for this deadline to be changed to the same deadline as the ARL statistics (around the end of January)?

___Yes

___No

___Don't Care

7. Resources available on campuses are not always purchased by or found on a particular campus. E-journals and e-books are often licensed jointly by all or a subset of campuses. Should campus totals for serials and volumes include these systemwide resources, or should campus totals only include locally purchased resources (with systemwide resources reported by the CDL or SLP)? The former would allow for a better representation of the resources available on each campus, whereas the latter would allow for a more accurate systemwide total of resources.

For the systemwide statistics on serials and volumes, how should the data be collected?

Check one:

_____ Campuses should report the total resources (local & systemwide) that are available through the libraries on that campus

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_____ Campuses should report only those resources purchased and available locally (not systemwide resources) in order to obtain an accurate total of library resources provided by UC library system as a whole.

_____ It is important to collect the data in both ways.

Comments:

8. Apart from the collection of data, are there any changes in the way that the data is displayed or reported that you would recommend?

TO: Lorelei Tanji
                Chair, SOPAG

FROM: Tom Leonard
                Convener, University Librarians

SUBJECT: Request to SOPAG to review and recommend changes to current practices for systemwide collection of library statistics

As you know, the Systemwide Library Planning unit in the Office of the President currently collects and publishes a range of statistical data from and about the UC Libraries, and uses some of these data, or provides them to other UCOP offices and external agencies, in support of a variety of budgeting, planning, and reporting obligations. Recent events have led the ULs, in consultation with SLP, to request SOPAG to review and recommend revisions to these data collection practices. These events include:

- Over the last two years, SLP has attempted to develop a range of new statistical measures that more adequately reflect the characteristics of our digital holdings and their use, as well as of the partially overlapping category of shared collections. SLP's first attempt to collect data from the campuses for these new measures, for the 2006-07 academic year, identified a number of difficulties.
- As part of the Regentally-directed restructuring and downsizing of the Office of the President, UCOP staff are carefully reviewing their current routine data collection and reporting responsibilities, with an eye to eliminating unnecessary reporting; at the same time, this downsizing will affect the capacity of SLP staff to continue to perform these responsibilities.
- The requirements and expectations of the external agencies to which the UC Libraries report statistical data are also changing; ARL for example, is continuously reviewing both its collection of data from members and the uses to which those data are put.

In view of these considerations, the University Librarians request that SOPAG conduct a thorough review of the routine data collection programs of the University that are applicable to the UC Libraries, with consideration of four fundamental questions:

- What data should be collected routinely from all campuses in order to describe and assess the quality and developmental progress of the UC Libraries to constituencies outside the Libraries? These constituencies include, but are not limited to, state government, professional and institutional associations and peer library groups, other segments of California P-16 education, UC systemwide and campus senior management, faculty and students (both current and prospective), and organized library support groups. These uses could be considered as the *strategic communication* function of the data.
- What data should be collected to support ongoing systemwide strategic planning for the UC Libraries as a system? These data would support planning for shared collections, facilities, and services, either in current operation or reasonably envisioned for the future. This is the *planning* function of the data.
- What data must be collected to support systemwide and external administrative reporting requirements? These include data required for systemwide budgeting and other administrative functions (if not readily derived from existing systemwide administrative information systems), routine required reports to external agencies (e.g., ARL, IPEDS), and

reports required by the proposed UC oversight board for systemwide library services, to the extent that these data must be supplied by the campuses rather than the specific services overseen. These are the *required systemwide administrative* functions of the data.

- What data must be routinely collected from campuses to ensure the effective planning, deployment, and management of systemwide library services? Examples might lie in the areas of shared collections, shared bibliographic services such as VDX and UC-eLinks, or elsewhere. Although defining and obtaining such data might reasonably be considered the responsibility of the managers of those services, it would be helpful to consider these in the context of this charge to SOPAG in order to find and address possible redundancies and synergies and help inform, justify, and rationalize the campus staff workload involved in providing data to support these essential services. This can be thought of as the *collaborative operational management* function of the data.

You will note that data that might be needed for local campus operational or management purposes are not highlighted here. To the extent that data useful for the functions enumerated above can be useful for local purposes, it would be useful to highlight those opportunities, but the dual foci of this inquiry are systemwide applications and strategic communication needs (which may be systemwide or local, as long as local needs are common among the campus libraries).

In considering the statistical measures that might be used to serve these four functions, you should use existing UC-wide annual library statistics as a point of departure, but please do not limit yourselves to those data. Consider both what can be retained or should be dropped from the current statistical program, and what new measures should be developed to support these key functions. The current availability of these measures and the workload and ongoing sustainability implications of programs to gather and process them is also an important factor in your assessment.

The Office of Systemwide Library Planning can provide you with more information about the current UCOP library statistics program and the uses that these data support (especially in the required systemwide administrative area), and we encourage you to include an SLP representative in your work; Gary Lawrence, Director of Systemwide Library Planning, will be available through the end of this academic year, and Joanne Miller, Senior Library Planning Analyst will be available thereafter.

We encourage you to consult widely among the campus libraries, including the CDL, and include in your consideration any ongoing or planned statistical programs developed at any of the campuses, and to consider any external developments, such as those arising from the ARL Statistics and Measurement Program, that may have relevance.

The intent of the University Librarians is that any proposed changes in data reporting methods would be carefully reviewed by the campus libraries in the last half of the 2008-09 fiscal year and put in place for the 2009-10 fiscal year: i.e., data would be collected in the new formats during 2009-10 for reporting to UCOP in the summer and fall of 2010. We recognize that the nature and extent of the changes recommended may suggest, in turn, the need for testing of new

procedures and methods. Therefore, the University Librarians would like to receive your recommendations in Fall 2008, to include:

- Recommended changes in annual reporting of statistical data to UCOP, in light of the considerations set out above, with rationales for the recommended changes.
- A plan for campus review and testing of the proposed data collection methods.
- A plan and schedule for implementation of revised data collection methods, including revision of the tentative timetable set out above if and as necessary to fully test and evaluate the proposed methods.

Appendix D

Overview of Library Statistics

Draft 5/6/08 [Info based on a conversation w/ Kevin Ruminson (UCI Director of Planning, Assessment, and Research) 5/2/08]

I. UC Library Statistics

 http://www.slp.ucop.edu/stats/ *(SLP: home for the annual published reports)*

http://www.slp.ucop.edu/stats/materials/index.html *(SLP: reporting materials, instructions, etc.)*

The data on the charts are just a subset of what is actually collected.

The chart lists the most useful statistics to publicize.

SLP: some useful references to locations where the data are used:

- *Regents' Budget <http://budget.ucop.edu/pubs.html>: see the chapter "Academic Support – Libraries" (all except 2009-09)*

- *Governor's Budget <http://www.ebudget.ca.gov/pdf/GovernorsBudget/6000/6440.pdf>; see page E-11, Program Element 20.10, "Libraries Academic Support" for the budget and program structure for libraries in the State's chart of accounts.*

A. Library Statistics Materials Schedule:

SLP note: a recent list of campus contacts for the reporting of UC library statistics is available at the blind URL <http://www.slp.ucop.edu/stats/sopag_materials/x-campus_stats_contacts.pdf>.

June - Annual call to campus libraries for statistics report is issued

August - Estimates are due from each campus to help prepare the budget request for the next fiscal year:

> Schedule X: Report of holdings/library materials (broken down by General/Health Sciences/Law):   Volumes (estimated) and Serials titles rec'd currently (estimated) *(SLP note: data are supplied to the Budget Office, State-Funded Capital Programs unit, as part of the Regents' Budget process; data are not necessarily included in the Regents' Budget document).*

> Schedule C: Interlibrary loan transactions *(SLP note: data on growth of ILL has been used routinely in the narrative of the Libraries chapter of the Regents' Budget)*

October – Rest of the forms are due—Schedules A, B, D, E and F

> Schedule A: Report of holdings (General/Health Sciences/Law) with more detailed breakdown by formats

> Schedule B: Materials Withdrawn from Local Collection (formerly: Duplicate items withdrawn in lieu of storage at NRLF/SRLF) *(SLP note: applicable to the capital budgeting process for libraries. The document at the following URL provides some background on how "withdrawn in*

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lieu of storage" and other routine statistical data are used for library space planning and capital budgeting purposes – please note that this is a working draft without official standing, and please do not quote or circulate: <http://www.slp.ucop.edu/stats/sopag_materials/x-UC_library_facilities_planning_principles.doc>)

Schedule D: Library materials by building location for risk management

Schedule E: Workload information (Services and checkouts) *(SLP Note: formerly part of library budget/expenditure reporting)*

Schedule F: Serials and Digital Resources

B. Library Budget and Expenditure Reporting Material Schedule:

(SLP note: Used to prepare the Governor's Budget – see reference above. These forms are the only source for budgets and expenditures by "program element" for reporting to the Department of Finance. Data are also used for budget and expenditure reporting in the annual Statistics publication, but not by program element.)

July - Call for submitting statistics is issued by the campus, but the forms/tables come from UCOP.

September - Form 3A and 3B are due; campus libraries submit these forms to campus budget office.

Form 3A: Proposed Budget for upcoming fiscal year.

- Salaries & Wages (broken down by Reference/Circulation and Acquisition/Processing)

- Library materials

- Binding

- Supplies, Expense & Equipment, and Special Items

- Total

Form 3B: Actual Budget from past fiscal year. Data listed in same categories as above.

C. Unit Values Use for Insurance of Library Materials

http://www.slp.ucop.edu/stats/unit_value_08.pdf

This chart is created by Systemwide Library Planning derived from the data collected from the above schedules.

SLP note: a background paper that generally describes the risk management program for library materials, and its relationship to current categories of collections data and the unit values, is available at the blind URL <http://www.slp.ucop.edu/stats/sopag_materials/x-Risk_Management_Discussion_Paper.doc>.

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II. ARL Statistics

December: Surveys made available online to ARL Libraries.
http://www.arl.org/stats/annualsurveys/arlstats/

http://www.arl.org/stats/annualsurveys/arlstats/07statmail.shtml

- ARL Statistics (including Law and Health Sciences)

- ARL Supplementary Statistics

- ARL Preservation Statistics

End of January: Data is due.

SLP Note: SLP, in collaboration with CDL and its Shared Acquisitions unit, prepare an annual report on systemwide collections and related matters that is made available to campus libraries as an aid for UC ARL members in completing their annual statistical reports to ARL. SLP does not report directly to ARL. The latest report is available at the blind URL <http://www.slp.ucop.edu/stats/sopag_materials/x-ARL_Supp_Stats_2006-07.doc>.

III. Other statistics:

-Integrated Postsecondary Education Data System (IPEDS)/National Center for Education Statistics. Collected every two years. Relatively easy to extract ARL or UCOP data to send to IPEDS.

-Association of Academic Health Sciences Libraries (AAHSL) – Annual Statistics

http://www.aahsl.org/Archive_stats/index.cfm

-Council on East Asian Libraries (CEAL) – Annual Statistics

http://www.lib.ku.edu/ceal/

-WASC accreditation??

-ABA accreditation??

-Others?

IV. Possible strategies

A. Review the charge and outcomes. Discuss how to proceed:

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a. Strategic communication function of data: Consult ULs on what "story" they want to tell with statistics.

b. Planning function of data: Impacts shared collections, planning and justifications for buildings and renovations, etc.

c. Required systemwide administrative functions of data: External reporting, budget report to UCOP, etc.

d. Collaborative operational management functions of data: What data should be centrally coordinated? Examples: Shared collections usage statistics/article views, etc.

e. Outcomes: i) Recommendations for changes; ii) Plan for review & testing; iii) Plan and schedule for implementation of revised data collection methods.

B. Survey appropriate people/groups who utilize this data and get their perspective of what is needed and what can be dropped? Then survey the people who coordinate the collection of this data to get their perspective about proposed changes in data collection and analysis. Possible groups to survey:

University Librarians Group

All Campus Groups (ACGs)

Common Interest Groups (CIGs)

Statistics coordinators

Others??

V. Some Issues & Questions

A. Timing/Calendar of statistics: Consider whether UC/UCOP statistics can be in synch with ARL calendar for statistics so that the definitions are the same. Would it make more sense to change the calendar for data that is not time-sensitive so that it is in alignment with ARL? Example: Schedule X and Forms 3A-3B are time-sensitive and should remain on the same schedule for budget planning purposes. But the rest of the schedules could probably wait until the ARL survey and definitions are completed in December.

B. Definitions: ARL vs UC definitions: Discuss whether we follow ARL definitions or whether to develop our own. Do we need to duplicate efforts that are occurring on a national level? For non-ARL Libraries (UCM, UCSF, UCSC)--if we use ARL definitions for UC definitions would it address their needs? NOTE: ARL Statistics & Assessment Committee Roster:

http://www.arl.org/arl/governance/cmte.shtml#stats

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Ruth Jackson (UCR) is on the committee 2007-2009

C. Schedule A's categories of formats: Do we really need to have such a detailed breakdown by format (microfilm reels, microcards, microfiche, microprints, audiodiscs, audiocassettes,aucioreels, compact discs/digital audio, multi-media kits, motion pictures, filmstrips, etc.)? ARL uses broader categories (microform units, audio, film and video). Are there reasons to collect data in such granular formats for collection development, space planning & justification, or risk assurance purposes?

(SLP Note: as a matter of current policy, we try to follow ARL definitions wherever we can, and Phase I of our recent redesign was intended to provide maximum feasible alignment with ARL. However, given the uses of collections data for risk management and space planning purposes, as discussed above, it proved impossible to collapse to ARL's collection categories without substantially re-engineering the insurance and capital budgeting procedures with the affected offices. More details at these two blind URLs: <http://www.slp.ucop.edu/stats/sopag_materials/x-Space%20and%20Unit%20Value%20Charts.xls>, <http://www.slp.ucop.edu/stats/sopag_materials/x-Statistics_phase_I_report.doc>

D. Types of data needed: What types of data are needed for justification of construction? What types of data are needed by the ULs to tell the story of the libraries to various audiences?

E. Data on digital collections: For UC/UCOP statistics, campus libraries do not count the shared digital collections to avoid double-counting. But for ARL, campus libraries include in their counts the accessibility to the shared digital collections since it presents a truer picture of access to online resources for their campus. The definitions on how to count digital collections is evolving. Example in the past, serials with a print and online format were counted as two items. Now a single title with print and online format is counted as one (de-duped). Another example: In the past, titles in an aggregated online resource were not counted, now they do count. There has been a change from counting serials subscriptions to counting serials unique titles.

Digital collection data has been problematic since responses varied so much. UC tried to anticipate the changes in definition by ARL statistics, but unfortunately the definitions ended up not matching. Problems occurred because the definitions are evolving and the interpretation by campus libraries differs. It is still important to collection data on digital collections, but there is the issue of whether UC wishes to put more emphasis on tracking what is needed internally or whether to follow the standards set by external groups.

F. Tables 3A & 3B: Sections II and III are relatively clean and easy to submit data. Sections I and IV are difficult to separate out.

 The two categories in Section I (Reference/Circulation and Acquisition/Processing) might be an artifact of line item budgeting. If there is not a good reason for maintaining these categories, it might be better to merge it into one category. It depends on whether there is a reason that we need to present our budget request and actual expenditures to the State into these categories or not.

SLP note: see link to the Governor's Budget and discussion of Tables 3A and 3B, above. It is not in our exclusive power to change the structure of the State's budget accounts.

G. The people who collect/coordinate the UC/UCOP and ARL statistics for the library do not have a formal group, but it might be good to get all their names/emails and get their feedback.

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H. Impact of changes in definition: It is important in terms of presentation and display of data when definitions change. Example: Decrease in serials by all UC libraries due to the change in the way serials were counted. UC and ARL switched from counting serials by subscriptions to counting serials by title (de-duped online and print). Unless this is made clear, it looks like there were massive cancellations within the system. Also this needs to be factored into any historical comparison of data in order to get a valid picture.

Issues in Collection of Data Relating to Digital and Shared Library Collections

Joanne Miller
Senior Library Planning Analyst

For the 2006-07 data collection cycle, UCOP's Office of Systemwide Library Planning began collecting statistical data from the campuses on shared and digital collections. As we noted in the preparatory materials (reports to the ULs and campus statistics contacts), we are considering this year as a trial period in which we identify areas that need clarification, refine the new categories, and make adjustments to the data collection. Now that the 2006-07 data has been collected and analyzed, we have discovered specific issues with the process and data.

I. Problems with collecting data about the **quantities of digital collections**:
   1. There were large differences among campuses in reported numbers of electronic serial titles that were not generally consistent with overall differences in the size of the libraries and their collections, and campuses provided little documentation about source of figures (see the chart on Page 2 for the data).
   2. SLP instructions about counting ebooks were unclear concerning whether campuses were to include only locally licensed and purchased collections. The CDL reports centrally purchased ebook collections separately, so we will instruct campuses to exclude these (Tier 1 ebook purchases) from their reports in the future.

II. Problems with collecting data on the **usage** of **digital collections** (see the chart on Page 2):
   1. No campus was able to report ebook usage. This question is not included in the ARL statistics questionnaire and no campus seems to collect the data.
   2. Some campuses reported usage only for certain units (e.g., law or general)
   3. Only 3 out of 10 campuses reported article requests.
   4. Only 4 out of 10 campuses reported reference source searches and sessions.
   5. Only 4 out of 10 campuses reported queries of local digitized collections.
   6. 6 out of 10 campuses reported views of local digitized collections.
   7. Clarification is needed about the ejournal usage that was reported, and whether Tier 1 and Tier 2 journals were included in campus figures. Campuses were asked to "note how their figure was obtained," but only some did so, and the comments provided were not consistent in providing details about scope or limitations of the data collected (e.g., only certain libraries or vendors).

III. Definitional problems concerning **shared collections**:
   In 2007, Schedule B (see page 3) was revised in order to simplify the "Items withdrawn from the collection in lieu of storage at an RLF," and to add room for items withdrawn from local collections due to either contribution to a designated shared print collection or because of the existence of the items in a designated shared print collection. Many campuses were confused by the change and the instructions. It is currently unclear whether items contributed by campuses to retrospective designated shared print collections (such as JSTOR) are also still reported as part of the local collections (e.g., in Schedule A). SLP would like to know whether there is interest in maintaining separate reporting for items withdrawn due to the existence of a "designated shared print collection" and for items withdrawn in lieu of storage at an RLF (e.g., because of duplication). Note that the distinctions here are subtle. For example, a campus might choose to withdraw from its local collection an item that duplicated an item in a designated shared print collection, even though it had no intention of storing the item (and therefore could not count it as "withdrawn in lieu of storage" under current definitions). Conversely, a campus might choose to withdraw an item that it wished to store but which duplicated holdings of a designated shared print collection held at a campus (and

therefore again could not count it as 'withdrawn in lieu of storage"). We will probably need to refine Schedule B and provide clearer instructions for the next collection cycle.

IV. Questions about campus vs. CDL reporting for "digitized collections"
Some CDL programs, such as OAC and Calisphere, host content provided by UC libraries and other institutions throughout the state and/or provide a central means of search and access to content hosted by the source institutions. The Association of Research Libraries (ARL), for its annual statistics survey, asks about items, megabytes, views and queries of "digitized collections." Should the CDL report figures for OAC and Calisphere? Does this duplicate some of what campuses are already reporting? What about the non-UC content?

Selected Data

I. Campus Digital Collections – Serial Titles:

	Berkeley	Davis	Irvine[1]	Los Angeles	Merced	Riverside	San Diego[2]	San Francisco	Santa Barbara[3]	Santa Cruz
Purchased	3,859	4,152	13,869	**N/A**	129	8,687	2,080	259	260	1,227
Not purchased	74	49	9,928	**N/A**	0	1,695	8,232	2	0	2,527
Total	3,933	4,201	23,797	10,785	129	10,382	10,312	261	260	3,754

[1.] (UCI) TITLES DEDUPED AND ALL SCP RECORDS REMOVED (CDL & CDOC TITLES)
[2.] (UCSD) Online titles counted here are unique current titles which are either locally licensed, part of a Tier 2 license or are open access online (available to all but are accessible through the UCSD Catalog). CDL licensed titles were not included in the calculation of this count.
[3.] (UCSB) SCP catalogs all open access titles

II. Use of Digital Collections

	Berkeley	Davis[1]	Irvine	Los Angeles	Merced	Riverside	San Diego	San Francisco	Santa Barbara	Santa Cruz
Article requests	**N/A**	3,981	**N/A**	**N/A**	**N/A**	482,556	**N/A**	**N/A**	**N/A**	744,437
reference sources - sessions	**N/A**	750	**N/A**	2,001,261	**N/A**	6,926	**N/A**	**N/A**	**N/A**	209,037
reference sources - searches	**N/A**	2,765	**N/A**	1,653,537	**N/A**	4,983	**N/A**	**N/A**	**N/A**	700,775
ebook title requests	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**	**N/A**
views of digital collections	246,690	**N/A**	1,641	675,042	**N/A**	**N/A**	204,078	1,558,299	72,000	**N/A**
queries of digitized collections	1,064,527	**N/A**	**N/A**	2,384,251	**N/A**	**N/A**	1,257,231	**N/A**	180,000	**N/A**

[1.] Davis reported digital usage only for the Law Library, from HeinOnline and RIA.

Systemwide Library Planning
E:\groups\slp\Projects\Statistics\stats_revision_2005-07\Phase_II\Stats_phase2_issues_2006-07.doc
Last Saved: January 29, 2008

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Appendix E

2006-07 UC Libraries Statistics			
SCHEDULE B: MATERIALS WITHDRAWN FROM LOCAL COLLECTION (formerly: DUPLICATE ITEMS WITHDRAWN IN LIEU OF STORAGE AT NRLF OR SRLF)			
Campus:			
Prepared by:			
	In 2006-07, number of titles, items or manuscript units…		
Library Materials	**Contributed to Designated Shared Print Collection**	**Withdrawn due to existence of Designated Shared Print Collection**	**Withdrawn in Lieu of Storage in an RLF**
1. Volumes			
2a.Serials received currently - purchased			
2b.Serials received currently - not purchased			
3a. Personal manuscripts			
3b. UC archival manuscripts			
3c. Other archival materials			
4. Maps			
5a. Microfilm reels			
5b. Microcards			
5c. Microfiche			
5d. Microprints			
6. Pamphlets			
7. Government documents			
8a. Audiodiscs			
8b. Audiocasettes			
8c. Audioreels			
8d. Compact discs, digital audio			
9a. Videotapes			
9b. Videodiscs			
9c. Mult-media kits			
9d. Motion pictures			
10a. Filmstrips			
10b. Pictorial items			
10c. 35mm slides			
11a. Computer tapes			
11b. Monographic CD-ROM discs			
11c. Serial CD ROM discs			
11d. Floppy disks			
Instructions and this form are available on the Web at <www.slp.ucop.edu/stats/materials/>			

2007-08 UC Libraries Statistics

<u>**SCHEDULE A: REPORT OF HOLDINGS**</u>

Campus:
Category (choose one): ☐ General   ☐ Health Sciences   ☐ Law   ☐ Affiliated
Prepared by:

LIBRARY MATERIALS	HOLDINGS 30-Jun-07	ADDED 2007-08	WITHDRAWN 2007-08	HOLDINGS 30-Jun-08
1. Volumes				0
2a.Serial titles received currently - purchased				0
2b.Serial titles received currently - not purchased				0
3a. Personal manuscripts				0
3b. UC archival manuscripts				0
3c. Other archival materials				0
4. Maps				0
5a. Microfilm reels				0
5b. Microcards				0
5c. Microfiche				0
5d. Microprints				0
6. Pamphlets				0
7. Government documents				0
8a. Audiodiscs				0
8b. Audiocasettes				0
8c. Audioreels				0
8d. Compact discs, digital audio				0
9a. Videotapes				0
9b. Videodiscs				0
9c. Mult-media kits				0
9d. Motion pictures				0
10a. Filmstrips				0
10b. Pictorial items				0
10c. 35mm slides				0
11a. Computer tapes				0
11b. Monographic CD-ROM discs				0
11c. Serial CD-ROM discs				0
11d. Floppy disks				0

Instructions and this form are available on the Web at <www.slp.ucop.edu/stats/materials/>

2007-08 UC Libraries Statistics
<u>**SCHEDULE B: MATERIALS WITHDRAWN FROM LOCAL COLLECTION**</u>
<u>**(Formerly: DUPLICATE ITEMS WITHDRAWN IN LIEU OF STORAGE AT NRLF OR SRLF)**</u>

Campus:	
Prepared by:	

Library Materials	Contributed to Designated Shared Print Collection	Withdrawn due to existence of Designated Shared Print Collection	Withdrawn in Lieu of Storage in an RLF
1. Volumes			
2a.Serials received currently - purchased			
2b.Serials received currently - not purchased			
3a. Personal manuscripts			
3b. UC archival manuscripts			
3c. Other archival materials			
4. Maps			
5a. Microfilm reels			
5b. Microcards			
5c. Microfiche			
5d. Microprints			
6. Pamphlets			
7. Government documents			
8a. Audiodiscs			
8b. Audiocasettes			
8c. Audioreels			
8d. Compact discs, digital audio			
9a. Videotapes			
9b. Videodiscs			
9c. Mult-media kits			
9d. Motion pictures			
10a. Filmstrips			
10b. Pictorial items			
10c. 35mm slides			
11a. Computer tapes			
11b. Monographic CD-ROM discs			
11c. Serial CD ROM discs			
11d. Floppy disks			

Instructions and this form are available on the Web at <www.slp.ucop.edu/stats/materials/>

2007-08 UC Libraries Statistics
<u>**SCHEDULE C: REPORT OF INTERLIBRARY TRANSACTIONS**</u>

Campus:				
Prepared by:				
	Returnable Items		Nonreturnable Items	
	Lent To	**Borrowed From**	**Lent To**	**Received From**
UC Libraries				
Berkeley				
Davis				
Irvine				
Los Angeles				
Merced				
Riverside				
San Diego				
San Francisco				
Santa Barbara				
Santa Cruz				
NRLF				
SRLF				
Total UC Libraries	0	0	0	0
All Other Libraries				
Total	0	0	0	0

Instructions and this form are available on the Web at <www.slp.ucop.edu/stats/materials/>

2007-08 UC Libraries Statistics
<u>SCHEDULE D: LIBRARY MATERIALS BY BUILDING LOCATION FOR RISK MANAGEMENT</u>

Campus:					
Prepared by:					

Library Materials/ Building Name	Building	Building	Building	Building	Building
Building Asset Number					
1. Volumes					
2a.Serials received currently - purchased					
2b.Serials received currently - not purchased					
3a. Personal manuscripts					
3b. UC archival manuscripts					
3c. Other archival materials					
4. Maps					
5a. Microfilm reels					
5b. Microcards					
5c. Microfiche					
5d. Microprints					
6. Pamphlets					
7. Government documents					
8a. Audiodiscs					
8b. Audiocasettes					
8c. Audioreels					
8d. Compact discs, digital audio					
9a. Videotapes					
9b. Videodiscs					
9c. Mult-media kits					
9d. Motion pictures					
10a. Filmstrips					
10b. Pictorial items					
10c. 35mm slides					
11a. Computer tapes					
11b. Monographic CD-ROM discs					
11c. Serial CD-ROM discs					
11d. Floppy disks					

Instructions and this form are available on the Web at <www.slp.ucop.edu/stats/materials/>

2007-08 UC Libraries Statistics
SCHEDULE E (formerly Table 3c): WORKLOAD INFORMATION

Campus:	
Prepared by:	

	2007-08
I. Services	
a. Number of staffed library service points	
b. Number of weekly public service hours	
c. Number of reference transactions (total)	
d. Number of virtual reference transactions	
e. Number of presentations to groups	
f. Number of total participants in group presentations	
II. Total Number of Items Checked Out Distributed by User Category	
a. Campus Undergraduates	
b. Campus Graduates	
c. Campus Acad. (Fac. & Other Acad.)	
d. Campus Staff Personnel	
e. All Other (Off-Campus Card Holders)	
f. Total Items Checked Out	

Instructions and this form are available on the Web at <http://www.slp.ucop.edu/stats/materials>

2007-08 UC Libraries Statistics
SCHEDULE F: SERIALS AND DIGITAL RESOURCES

Campus:	
Category (choose one):	☐ General ☐ Health Sciences ☐ Law ☐ Affiliated
Prepared by:	

Instructions can be found at: http://www.slp.ucop.edu/stats/materials/

Fill out all yellow cells. Provide notes in column provided.

LIBRARY MATERIALS		Quantity		Usage		Notes
1. Electronic reference sources*			Sessions:			
			Searches:			
2. Electronic books						
3. Digitized collections	Number:		Views:			
	Megabytes:					
	Items:		Queries:			

*Note: Please use COUNTER definition (http://www.projectcounter.org/code_practice.html) for usage of electronic reference sources.

UNIVERSITY OF CALIFORNIA
Libraries & Academic Computing
Table 3a
Library Expenditures

CAMPUS:	July 1, 2008 Adjusted Budget		
	General Funds	Restricted Funds	Total
BUDGETED FUNDS			
I. Salaries & Wages			
a. Reference/Circulation			
1. Academic			0
2. Staff			0
3. General Assistance			0
4. Employee Benefits			0
5. Subtotal	0	0	0
b. Acquisition/Processing			
1. Academic			0
2. Staff			0
3. General Assistance			0
4. Employee Benefits			0
5. Subtotal	0	0	0
c. Subtotal: S&W	0	0	0
II. Library Materials			
a. Current Serials			0
b. Other Library Materials			0
c. Total	0	0	0
III. Binding			0
IV. Supplies, Expense & Equipment, and Special Items			
a. Reference/Circulation			0
b. Acquisition/Processing			0
c. Subtotal	0	0	0
V. TOTAL	0	0	0

UNIVERSITY OF CALIFORNIA
Libraries & Academic Computing
Table 3b
Library Expenditures

CAMPUS:	2006-07 Actual			
	General Funds	Restricted Funds	Total	**NON-BUDGETED**
BUDGETED FUNDS				**FUNDS**
I. Salaries & Wages				
a. Reference/Circulation				
1. Academic			0	
2. Staff			0	
3. General Assistance			0	
4. Employee Benefits			0	
5. Subtotal	0	0	0	0
b. Acquisition/Processing				
1. Academic			0	0
2. Staff			0	
3. General Assistance			0	
4. Employee Benefits			0	
5. Subtotal	0	0	0	0
c. Subtotal: S&W	0	0	0	0
II. Library Materials				
a. Current Serials			0	
b. Other Library Materials			0	
c. Subtotal	0	0	0	0
III. Binding			0	0
IV. Supplies, Expense & Equipment, and Special Items				
a. Reference/Circulation			0	
b. Acquisition/Processing			0	
c. Subtotal			0	
V. TOTAL	0	0	0	0