

UNIVERSITY OF CALIFORNIA LIBRARIES

Instructions for Reporting Statistics of Library Materials, Interlibrary Transactions and Other Data

For 2023-2024 data collection

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Background

The UC libraries have collected annual statistics for over 75 years. The statistics are defined by the libraries and managed by the California Digital Library (CDL) in partnership with each campus library. Some data collected through the annual statistics process are also used by the UC Risk Management and Budget and Planning offices, both located at the UC Office of the President (UCOP).

As a reminder, in 2022-23 the UC Libraries reviewed the data requirements and instructions for these statistics to determine how the new SILS environment (presently Ex Libris’ Alma and Primo) should be used at the network level to standardize and centralize data reporting. This work was carried out by the Alma Annual Statistics Analytics Project Team (AASA-PT), a representative team with members from all ten campuses and CDL. The core objectives for the AASA-PT were to establish Network Zone (NZ) reporting that increases data accuracy and comparability across campuses, and reduces duplicative, manual and labor-intensive processes. To achieve these goals, AASA-PT developed a series of recommendations that were reviewed and endorsed by UC Libraries leadership (Council of University Librarians, Direction and Oversight Committee, and the SILS Leadership Group) in June and July 2023. [A copy of the AASA-PT report and recommendations on the UC Libraries/UCOP annual statistics can be found on eScholarship.](#)

Continuing the practice established in summer 2023, the 2023-2024 annual statistics will be managed through the following approaches, carried out in parallel:

1. NZ reporting, co-developed by the AASA-PT in consultation with local and systemwide experts, will be generated by CDL and utilized for most print and all electronic holdings, as well as risk management and print circulation data
 - o NZ reporting standardizes the data sources and fields utilized

- NZ reports will be distributed in summer 2024, for campus review and confirmation, after the AASA-PT has concluded its initial review of the data
 - Further edits to standardize the data will be pursued over time by the libraries
 - Detailed, technical documentation of [the Network Zone reporting is available through the SILS google drive here](#)
2. Campus-based reporting will continue largely unchanged for intercampus and interlibrary loan data, digital collection statistics and specific special collections and archives holdings counts (e.g., manuscript units, pictorial items)
- Campus representatives will locally collect and report these statistics, which are due to CDL by Friday, September 20, 2024

Please note: Starting in FY23/24, for both NZ-generated and campus-generated data, the AASA-PT has [ceased use of the “schedule” naming designations](#) used in previous reporting years in favor of plain-language descriptive titles for each report area. This change is reflected in the forms and instructions, and will be in the final reports that are produced later this fall. This shift to clearer naming conventions is being made to support better understanding of and communication about UCL annual statistics. Where appropriate, the forms and instructions note the previously-used “schedule” names, to help facilitate this transition. Data reporting requirements are not impacted by this naming change.

REPORT OF HOLDINGS AND TITLES (PHYSICAL AND ELECTRONIC) (formerly “Schedule A”)

NZ reporting is utilized for generating statistics for most physical resources and all but one statistics for electronic resources (the electronic databases count continues to be a locally-generated statistic); from the NZ, both Network and Institution Zone data is queried. Non-ILS, campus-based reporting will be maintained for select materials (typically but not always special collections and archives) that are not adequately represented in the ILS.

Network zone generated

The report of holdings and titles, formerly called “Schedule A,” is generated from the NZ by CDL and distributed to campuses as two distinct data sheets:

- *Physical materials*
 - **Holdings = Physical Material Id x Resource Type**, plus additional campus-defined variables to further refine categorization and identify records for exclusion
 - **Titles = MMS Id (distinct) x Resource Type**, plus additional campus-defined variables to further refine categorization and identify records for exclusion
- *Electronic materials*
 - **Holdings = Portfolio Id x Resource Type**, plus additional campus-defined variables to further refine categorization
 - **Titles = MMS Id (distinct) x Resource Type**, plus additional campus-defined variables to further refine categorization
 - *Please note that title-level reporting currently deduplicates only within each Institution*

Zone and does not include tiers 1-2 materials

NZ-generated reports provide end-of-year holdings and titles totals by resource type; at present, these totals are as of 1-Jul-2024 (please note that select statistics were re-generated for some campuses on 2-Jul-2024 to correct data errors present in the 1-Jul-2024 run). If refinements are needed, CDL may re-run the reports later in the summer. For physical materials, added and deleted¹ records by fiscal year are reported and based on the item creation date.

Holdings and titles are reported by the “resource type” field. Resource type is automatically constructed based on MARC bibliographic fields, including the LDR and 008. It offers a consistent and shared set of types across the campuses, negates the need to recategorize and allows UC to best take advantage of Alma’s functionality while maintaining sufficient detail for risk management purposes. [A crosswalk has been created to map the prior categories to the new resource types](#), to understand how our approach has changed since centralizing annual statistics and continue to analyze holdings over time.

Where a campus has designated affiliate groupings, those are included in the campus-based output for physical materials (e.g., reporting totals for the General, Health Science and Law collections, as well as the overall total).

RLF physical materials are included for each campus based on holdings that they have deposited to SRLF and NRLF. Because some RLF holdings are not attributed to a UC campus (e.g., shared print for licensed content collections, WEST shared print volumes contributed by a non-UC institution, etc.), a separate “Physical Holdings at RLFs” report has been developed to track RLF holdings that lack a specific UC-campus depositor.

Please note the following distinctions for electronic holdings:

- Available **at** [campus] – Licensed content acquired and made available by the campus (i.e., tier 3)
- Available **for** [campus] – Licensed content acquired and managed by CDL where the campus has access (i.e., tiers 1 and 2 where the campus participates)
- Purchased DDA – Demand/Patron-driven acquisitions, where metadata exists in Alma to distinguish when a purchase has been activated
- Unknown Purchase Status DDA – Demand/Patron-driven acquisitions, where metadata is lacking and we are unable to determine the purchase status (i.e., the titles are available in the catalog but we do not yet know, through Alma Analytics, whether a purchase has been activated or not)
- Unknown if DDA – Titles that may be demand/patron-driven acquisitions titles, but where metadata is lacking and we are unable to confirm whether they’re D/PDA or licensed content through Alma Analytics
- eResources – Electronic content available through subscriptions, backfile purchases, transformative open access, etc.

¹ Deleted records vs. withdrawn materials: Deleted records for physical items are reported for all campuses; for UC Irvine and NRLF withdrawn materials are also reported, as they have practices in place to differentiate withdrawn materials from deleted records. AASA-PT continues to work with campuses to identify local practices for identifying withdrawn materials, to differentiate them from deleted records in the Network Zone statistics. For more information about how withdrawn materials are reported, [please see the technical documentation for the Network Zone reporting](#). Should you have any questions, please do not hesitate to reach out to your [campus AASA-PT representative](#) and/or CDL Systemwide Data Analyst Daisy Nip (daisy.nip@ucop.edu).

Campus generated

Each campus separately reports specific holdings statistics, typically for select special collections and archives; these holdings counts are generated through non-ILS based reporting because these materials are inadequately represented in Alma Analytics. These materials include (as applicable):

- Personal manuscripts
- Manuscript units
- Other archival units
- Pictorial items
- Microcopies (e.g., microforms, microfiche, microfilms)
- Databases (electronic)

Campuses with affiliates not in the SILS also submit holdings and title level information for all resource types.

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). 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	0.4
Half-width document box	2.5 x 12.5 (or 16) x 10.5	0.2
Clamshell style box	10.25 x 12.5 (or 15.5) x 1.25	0.1
Flat storage box	11.5 x 15 x 4	0.3

For space planning purposes:

$$1 \text{ manuscript unit} = 0.751 \text{ assignable square feet (asf)}$$

$$1 \text{ asf} = 1.332 \text{ manuscript units}$$

Definitions for resource types reported as non-ILS statistics

Personal manuscript: 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.

UC archival manuscript: The preserved documentary records of the University of California. Count by manuscript unit.

Other archival material: 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.

Pictorial material: 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.

Microformats: Microforms, microfiche, microfilm, and micro-opaques. Count by holdings. (At campus discretion, the holdings count is also used for the title count.)

Databases: The electronic databases available through your library, licensed locally or centrally at CDL. Count by database title. (Current practice is to utilize local A-to-Z database lists to generate this count.)

REPORT OF INTERLIBRARY TRANSACTIONS (WITHIN UC AND WITH OTHER LIBRARIES) (formerly “Schedule C”)

Interlibrary transactions (internal to UC and external) are reported by each campus. For Alma-based intercampus transactions, the SILS Resource Sharing Analytics Team created a shared report template in fall 2022 that can be run by each campus (from their Institution Zone, for campus and affiliate libraries in Alma) to generate the applicable internal UC transaction data.

Due to ongoing anonymization issues with the Alma Automated Fulfillment Network (AFN), we are extending the due date for Interlibrary Transactions to December 6, 2024.

Campus generated

Instructions for Campus Interlibrary Transactions

- Interlibrary loan statistics are supplied by each University campus library, combining data from its Interlibrary Loan and Interlibrary Borrowing units, as applicable
- 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 Interlibrary Transactions

- The RLFs will be considered separate campuses for reporting purposes.
- Each RLF will report lending transactions to all UC campuses, including their host (UC Berkeley and UCLA, as applicable), and adhere to the following principles when compiling ILL statistics:
 - A. 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
 - B. 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

REPORT OF LIBRARY MATERIALS BY BUILDING LOCATION FOR UC RISK MANAGEMENT (formerly “Schedule D”)

Network Zone reporting is utilized for this inventory of most physical holdings by campus and campus locations, including campus deposits to the RLFs. Non-ILS, campus-based reporting will be maintained for select special collections and archives materials that are not adequately represented in the ILS.

Network zone generated

The report of library materials by building location is generated from the Network Zone using the following elements:

- **Holdings = Physical Material Id x Library Name x Resource Type**, plus additional campus-defined to identify records for exclusion
- **Titles = MMS Id (distinct) x Library Name x Resource Type**, plus additional campus-defined variables to identify records for exclusion

Campus generated

Each campus separately reports specific holdings statistics, typically for select special collections and archives, for risk management; these holdings counts are generated through non-ILS based reporting because these materials are inadequately represented in Alma Analytics. These materials include (as applicable):

- Personal manuscripts
- Manuscript units
- Other archival units

- Pictorial items
- Microcopies (e.g., microforms, microfiche, microfilms)

Campuses with affiliates not in the SILS also submit holdings and title level information for all resource types.

Public Services and Workload (formerly “Schedule E-I”)

Reporting of workload and service statistics is entirely managed and reported by each campus. Data collected for this area remains unchanged and includes:

- Number of staffed library service points
- Number of weekly public service hours
- Number of reference transactions (total)
- Number of virtual reference transactions
- Number of presentations to groups (including virtual)
- Number of total participants in group presentations

Campus generated

Definitions for workload/service areas

- Number of staffed library service points.* Count the number of staffed public service 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.
- 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).
- Number of reference transactions (total).* 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 non printed 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 (also reported separately in 1.d. *Number of virtual reference*

transactions, defined below). 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.

- 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).
- e. *Number of presentations to groups (including virtual).* 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. Presentations both on and off the premises should be included as long as they are sponsored by the library. Do not include meetings sponsored by other groups using library meeting rooms. Do not include training for library staff; the purpose of this question is to capture information about the services the library provides for its clientele. Please indicate in a footnote if the figure is based on sampling.
- 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.), and so are not included in this count (1.f.). Please indicate in a footnote if the figure is based on sampling.

PHYSICAL CIRCULATION (formerly "Schedule E-II")

The circulation of physical collections within the fiscal year is reported from the Network Zone by CDL. Initial print circulation and print course reserve use are reported as distinct units, by campus user groups. User group categories have been re-binned, to sort the detailed user group categories developed by each campus in Alma IZ into the existing UC Libraries user group types.

Network zone generated

The circulation of physical collections within the fiscal year is reported through the Network Zone using the following elements:

- **Check-Out = Item Loan Id (distinct) x User Group**, plus additional campus-defined variables to further refine categorization
- **Course Reserve = "Item Loan Id" (distinct) x "User Group" x course reserve identifiers identified by campuses**, plus additional campus-defined variables to further refine categorization

- **Fiscal Year = Loan Date in fiscal year**, plus additional campus-defined variables to further refine categorization

The total number of items lent are counted, not the number of borrowers. Renewal of print materials and in-house use are *not* included. Electronic material usage is also *not* included here.

DIGITIZED CONTENT (formerly “Schedule F”)

Digitized content statistics are generated by each campus and reported to CDL. As of summer 2023, the UC libraries no longer collect statistics for “Electronic Reference Sources” and statistics for electronic books are included in Electronic Holdings (which is a Network Zone report).

Campus generated

This report includes only locally digitized collections on campuses.

Quantity:

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

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 and/or digital asset management system. Created or converted digital collections can include electronic theses and dissertations (ETDs), special collections materials, maps, sound recordings, and films.

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