

APPENDIX 3

NOTES OF GUIDANCE AND QUESTIONNAIRE

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LIBRARY SECTORS

The term “Library” is taken to be inclusive of all types of Library, Information Unit, Resource Centre or similar, regardless of nomenclature. The library sectors included in this study are derived from the UNESCO definitions as incorporated in ISO 2789, namely:

1. NATIONAL LIBRARIES :

Libraries which, irrespective of their title, are responsible for acquiring and conserving copies of significant publications produced in the country, typically functioning as a “deposit” library, either by law or other arrangement, and normally compiling a national bibliography. There may be more than one national library where there are two or more substantial units with most of the main features of a National Library, for example Scotland and Wales in the UK.

2. LIBRARIES OF INSTITUTIONS OF HIGHER EDUCATION :

Libraries primarily serving students and teachers in university and other institutions of education at the third level (i.e. ISCED levels 5 and 6). Also include libraries of national importance serving the research community/government institutions.

3. PUBLIC LIBRARIES :

Those which serve the population of a community or region free of charge or for a nominal fee; they may serve the general public or special categories of users such as children, members of the armed forces, hospital patients, prisoners, workers and employees.

4. SPECIAL LIBRARIES :

Those maintained by an association, government service, parliament, research institution (excluding university institutes), learned society, professional association, museum, business firm, industrial enterprise, chamber of commerce etc., or other organised group, the greater part of their collections covering a specific field or subject, e.g. natural sciences, social sciences, agriculture, chemistry, medicine, economics, engineering, law, history. For the purposes of this survey, Special Libraries are divided into 5 subgroups, as follows:

A. GOVERNMENT LIBRARIES:

Those maintained by any government service, department or agency, or parliament, including both central (national) and local (regional) government organisations. Exclude National Libraries, Public Libraries and Health Service libraries, which have their own categories.

B. HEALTH SERVICE LIBRARIES:

Those which serve health service professionals in hospitals or elsewhere, whether in the private or public sector. Exclude pharmaceutical company libraries, which should be included under 4D.

C. PROFESSIONAL ASSOCIATIONS:

Libraries maintained by professional or trade associations, learned societies, trade unions and other similar bodies whose primary objective is to provide services to the members and practitioners of a specific trade or profession.

D. INDUSTRIAL & COMMERCIAL LIBRARIES:

Libraries in any industrial enterprise or business firm, maintained by the parent organisation to service the information needs of its staff. Include libraries maintained by information and management consultants, the media, manufacturing and service industries and law libraries

E. OTHER:

Any other library not included elsewhere. Include libraries within voluntary organisations, museums, etc., and other libraries of a learned character which are neither libraries of institutions of higher education nor national libraries.

A return is also included for the total of all Special Libraries.

5. OTHER MAJOR NON-SPECIALISED LIBRARIES:

Non-specialised libraries of a learned character which are neither libraries of institutions of higher education nor national libraries. Wherever possible libraries should be classed as National, Academic, Public or Special, according to the main features of those they are set up to serve, in order to achieve the most realistic comparisons with practice in other countries. We suggest that the word "Major" be taken to mean libraries with collections in excess of 150,000 stock items. Please enclose a list of all libraries included in this category.

6. SCHOOL LIBRARIES :

Those attached to all types of schools and colleges below the tertiary level of education (i.e. ISCED levels 0 - 4) that primarily serve the pupils and teachers of such schools and colleges, even though they may also be open to the general public.

The return forms are specific to each sector, and some of the notes and definitions which follow are applicable only to certain sectors. Where this is the case it is clearly indicated in the heading.

Respondents are asked to complete the forms using existing material and are not expected to undertake new primary survey activity. A list of the sources used, with full bibliographic details and/or the names and addresses of compilers should be included with the completed returns.

ACCOUNTING PERIODS

If the period of account for which you hold statistics does not correspond to calendar years, then please make your returns under the year which covers the majority of the period to which your accounts relate. In the special case where the accounting year is split equally between two calendar years, data should be entered under the year corresponding to the first half of the period.

For example: Where data refer to the accounting year 1st April 1996 to 31 March 1997, they should be entered in the column headed "1996", and the "Accounting Period" should be shown as "1 April to 31 March". Where data refer to the accounting year 1st August 1996 to 31 July 1997, they should be entered in the column headed "1997", and the "Accounting Period" should be shown as "1 August to 31 July". Where data refer to the accounting year 1st July 1996 to 30 June 1997, they should be entered in the column headed "1996", and the "Accounting Period" should be shown as "1 July to 30 June".

The form has space for several years' data; please complete as many years as possible. Where LIBECON has access to data from previous surveys, this has been entered on the LIBECON web site at <http://www.libecon2000.org>. Please check any entries made for your country, and if you would like to change any data because you now have more accurate information, please provide revised figures on the attached returns.

GROSSING UP

All figures written onto the questionnaire, apart from the number of respondents in line 2, must be the respondent's best estimate for the whole country. Where there are incomplete returns of actual data, it is your responsibility to adjust the figures so that they represent the complete picture.

For example: if only 12 out of 15 university libraries have supplied data, then the data will need to be "grossed up" to represent all 15. This may be done in one of three ways:

A) Crudely by applying a multiplication factor of $15/12$ or an increase of $3/12 = 25$ per cent.

B) It will preferably be done by taking account of the size (student numbers) of the missing universities, for example: - if the missing universities have 20,000 students and the universities that have supplied data have 110,000 students, then the multiplication factor is $130/110$ or an increase of $20/110 = 18$ per cent.

C) It may be possible to use figures from previous years as surrogate data for individual institutions' results, for example:- where 1997 data are missing from one (or more) institutions but 1996 returns showed expenditure from those institutions of DM 300,000 and the average increase for all institutions which supplied data in both years is 4 per cent, then an estimate for 1997 for the missing institution(s) will be $DM\ 300,000 \times 1.04 = 312,000$. This is then added to the available data to give the whole sector estimate.

A combination of these methods may be used as appropriate. A separate note of explanation on the procedure(s) adopted should be supplied in all cases.

DEFINITIONS FOR ACTIVITY STATISTICS

LIBRARIES

ADMINISTRATIVE UNIT :

Any group of libraries, or an independent library, under a single director or a single administration.

NUMBER OF RESPONDENTS

The number of administrative units which supplied data to the person completing the questionnaire and on which the figures supplied are based.

SERVICE POINT :

Any library at which is provided in separate quarters a staffed service for users, whether it is an independent library or is part of a larger administrative unit. Include mobile library units, but the points at which mobile libraries stop are not counted as separate service points.

COLLECTIONS and ADDITIONS :

Library materials provided by the library for its users. Statistics relating to library collections should cover items available to users in the categories that follow. They must include a count of materials on loan (or an allowance for them). Statistics relating to additions are required only for Books & Bound Periodicals and Audio-visual Materials.

BOOKS AND BOUND PERIODICALS :

"Books" should be counted in volumes. In this context, a volume includes reproduced material (except microforms) forming a physical unit of any printed work contained in one binding or portfolio. "Periodicals" are as defined below. Bound periodicals should be counted as physical units. Unbound periodicals (not current) should be included in the count as if they were collected into bound physical units. Newspapers should be included and counted here only if they are bound in volumes or kept in parcels. (Newspapers held in microform are counted as microforms - see below.)

CURRENT PERIODICALS :

The number of periodical TITLES received by administrative units during the year of account, and the total number of periodical SUBSCRIPTIONS taken at the end of the year of account. "Periodicals" are numbered consecutively or each issue is dated. Newspapers are included. Annuals and regular conference proceedings are included; but monographic series are not. On-line electronic journals are included, but journals on CD-ROM are not, and should be reported separately (see below).

MANUSCRIPTS : *(Not applicable to sectors: 4B Health service libraries; 4D Industrial and commercial libraries; 6 School libraries)*

Any original hand written or drawn work contained in one binding or portfolio, excluding microform copies. Where individual manuscripts warrant a separate catalogue entry, they should be counted separately.

MICROFORMS : *(Not applicable to sector 6 School libraries)*

Micro printed reproductions of original works or publications including micro reduced film copies of manuscripts. Include microfiche and microfilm.

AUDIO-VISUAL MATERIALS :

These are non-book, non-microform library materials which require the use of special equipment in order to be seen and/or heard; e.g. records, tapes, cassettes, audio compact discs, motion pictures, video tapes, sets of slides and transparencies. Exclude CD-ROMs which should be reported separately (see below).

CD-ROMs

Include both monograph and periodical equivalents held in CD-ROM format. Include multimedia CD-ROMs where they include text.

FACILITIES & SERVICES :

PERCENTAGE STOCK ON OPEN ACCESS

The average percentage of total stock which is on open access, i.e. which is available to users to access for themselves without intervention from a member of library staff. Include all types of stock.

PERCENTAGE CATALOGUE RECORDS AUTOMATED

The average percentage of catalogue records which are held on a computer system, whether directly accessible to users or not.

NUMBER OF WORKSTATIONS FOR USERS

The total number of computer workstations on the library premises available to users for any purpose. Include OPAC terminals, PCs provided for users, PCs for Internet and other on-line access and CD-ROM terminals.

USE AND USERS :

REGISTERED USERS (*Applicable only to sectors 1 National libraries and 5 Other major non-specialised libraries*)

The number of people registered to use the library in the year of account.

REGISTERED MEMBERS (*Applicable only to sectors: 2 Libraries of institutions of higher education; 3 Public libraries*)

Those persons registered with the library in order that they may use the facilities available on the premises, or borrow material from the library for use outside the library confines. Please count only the number of persons registered in the specified year; do not include casual visitors not registered as library users.

CONSULTATIONS (*Applicable only to sector 1 National libraries*)

The number of formal requests for material or access to material or information.

LOAN TRANSACTIONS : (*Not applicable to sector 1 National libraries*)

This should be calculated by the number of works loaned out and copies supplied in place of loans; include books, music, periodicals, manuscripts audio-visual materials etc. loaned out. Count by number of volumes (or items). Include renewal transactions. Include the number of copies produced to take place of original materials, counted by volumes.

INTER LIBRARY LOANS : (*Not applicable to sector 6 School libraries*)

Include here all issues and borrowings of either original material or photocopies whether made directly or through Regional Library Bureaux or other agencies. Include sets of vocal and orchestral music and plays. Include issues made between administrative units within the national library system. Exclude transfers between service points within one administrative unit.

Under ISSUES show the number of items provided to another library.

Under RECEIPTS show the number of items received from another library.

SECTOR POPULATION TO BE SERVED : (*Applicable only to sector 2 Libraries of institutions of higher education*)

Total number of individuals for whom the library is set up to provide its services and materials. Typically this will be the total academic and professional staff, researchers and students in the institutions served

POPULATION : (*Applicable only to sector 3 Public libraries*)

Total number of individuals for whom the library is set up to provide its services and materials - normally the total population of the country.

SECTOR POPULATION TO BE SERVED : (*Applicable only to sectors 4 Special libraries and 5 Other major non-specialised libraries*)

Total number of individuals for whom the library is set up to provide its services and materials. Exclude the general public at large, even though they may use the facilities from time to time.

SECTOR POPULATION TO BE SERVED : (*Applicable only to sector 6 School libraries*)

Total number of individuals for whom the library is set up to provide its services and materials. Typically the total number of students and teachers in the institutions served.

LIBRARY STAFF :

Figures should relate to the number of staff employed at the end of the accounting period. In counting library employees, the concept of full-time equivalent (FTE) should be used to convert figures relating to the number of part-time workers into the equivalent number of full-time workers. For example, if out of three persons employed as librarians, one works quarter time, one works half time, and one works for 100 per cent of the time of a full-time librarian, then the FTE total of these three persons would be $0.25 + 0.5 + 1.0 = 1.75$ librarians (FTE).

TRAINED LIBRARIANS :

All members of staff who have received a general training in librarianship or information science. The training may be by formal education or by means of an extended period of work in a library under supervision.

OTHER LIBRARY STAFF :

Include all employees who are employed on library functions and staff required to service the proper running of the library(ies) but who do not come under the definition of "Trained Librarians" above. Include both employees of the administration and those employed on a contract basis. Exclude volunteer assistants.

RECURRENT EXPENDITURE :

Recurrent expenditure relates to the TOTAL estimated recurrent expenditure for the library sector for the financial year (see note on Accounting Periods) and follows the definition in ISO 11620: "Money spent on staff, and on resources which are used and replaced regularly, excluding capital expenditure such as main capital items, new buildings, extensions or modifications to existing buildings and computer equipment". Recurrent expenditure is calculated in various ways in different institutions and countries, and calculation will have to be done according to normal practice in each country. Recurrent expenditure normally includes: salaries and wages (including employee benefits, social costs etc.); costs of acquiring documents for the collection; administrative costs; maintenance of buildings, collections etc.; rental costs or depreciation costs of buildings and equipment; and other operating expenses (heating, lighting, electricity, etc.). This expenditure should be shown as far as possible under the following headings:

STAFF :

This figure includes salaries, overtime payments, pension contributions paid by employers, training costs, travel and subsistence expenses and other staff emoluments relating to all staff working within the library sector and included in the total staff numbers reported.

ACQUISITIONS OF STOCK :

Relates to spending on the acquisition of materials specified under "COLLECTIONS" in order to enhance the collection available to users. Do not include the cost of purchases of equipment for use by the library administration/management, which should be included under "Other Expenditure".

ELECTRONIC INFORMATION RESOURCES:

Include the costs associated with provision of software for library users and all types of electronic information including subscriptions to wholly electronic journals, costs of access to on-line sources of information and the internet. Do not include costs associated with library management systems. Exclude hardware costs, which should be shown under "Automation".

AUTOMATION :

The costs of computer automation, networks and telecommunications including maintenance and depreciation. Include all costs charged to recurrent expenditure associated with provision of computer systems and facilities for users and staff, e.g. OPAC terminals, CD-ROM readers, PC workstations etc. Exclude capital expenditure where it can be distinguished from recurrent expenditure. Exclude costs of CD-ROMs and other software bought for users to consult, which should be shown under "Electronic Information Resources".

PREMISES AND RELATED COSTS :

The costs of rent, maintenance services and building depreciation. All items relating to the running costs of library premises, e.g. rents, property taxes, financial charges, cleaning materials, energy costs (heat and light), repairs and maintenance etc. Please exclude the cost of staff, which should be included under "Staff".

NEW BUILDINGS/REFURBISHMENT :

Relates to significant expenditure on material improvements to the fabric of existing library premises or the construction of a new building. Exclude capital expenditure where it can be distinguished from recurrent expenditure, and is entered under "Capital Expenditure".

OTHER :

All other recurrent expenditure incurred towards the cost of running the library sector during the year and which is not specifically detailed in the above categories.

INCOME : (Not applicable to sector 6 School libraries)

All receipts received during the year of account used to offset the cost of the library sector.

PUBLIC FUNDING : (Applicable only to sectors: 1 National libraries; 3 Public libraries)

Any moneys received from central or local government, whether in the form of a grant or contribution to the maintenance of the library sector

INSTITUTIONAL FUNDING : (Applicable only to sector 2 Libraries of institutions of higher education)

Any moneys received from the parent institutions of the libraries in the sector, whether in the form of a grant or contribution to the maintenance of the library sector

PARENT BODY FUNDING : (Applicable only to sectors 4 Special libraries; 5 Other major non-specialised libraries)

Any moneys received from the parent organisations of the libraries in the sector, whether in the form of a grant or contribution to the maintenance of the library sector

FEES AND CHARGES :

Income generated by library operations and from fees, charges and subscriptions

OTHER INCOME :

Any other income during the year which is not directly specified in the above categories. Examples would include: private donations; sponsorship income; proceeds from the sales of assets; transfers of moneys between different administrations made during the year of account; interest earned on bank balances; etc.

CAPITAL EXPENDITURE : (Not applicable to sector 6 School libraries)

Expenditure which results in the acquisition of, or addition to, fixed assets, which includes the items below. Major spending which may be funded either from Internal Capital Funds of the Administration or from external sources.

NEW BUILDINGS/REFURBISHMENT :

Show expenditure on the physical infrastructure - i.e. building new libraries or significant costs incurred on repairing or renewing the fabric of existing buildings either already in, or being converted to, library usage. Exclude everything that is reported as recurrent expenditure.

ACQUISITION OF STOCK (Applicable only to sectors: 1 National libraries; 2 Libraries of institutions of higher education and 3 Public libraries)

Include only capital expenditure associated with the acquisition of materials specified under "COLLECTIONS" for stocking **new** libraries.

AUTOMATION :

Include all capital costs associated with provision of computer systems including OPAC terminals, CD-ROM readers, PC workstations etc. Exclude everything that is reported as recurrent expenditure.

OTHER :

All other capital expenditure incurred in the financial year which is not specifically detailed in the above categories.

If any data do not conform to the definitions given above, or have been affected by unusual circumstances, this should be explained on the form.

Assistance with completion of the forms and interpretation of the definitions can be obtained from:-

David Fuegi
11 Sanders Drive
COLCHESTER
Essex CO3 3SE
UK

Adolf Knoll
National Library
Klementinum 190
CZ - 11000
PRAHA

Tel: +44 1206 520110
Fax: +44 870 164 0197

Tel: +42 0226 6160
Fax: +42 022 422 7796

E-mail david@fuegi.demon.co.uk

E-mail Adolf.Knoll@nkp.cz (SMTP)

All completed questionnaires, and/or amendment forms should be sent in the first instance to:-

Claire Creaser,
LISU,
Loughborough University,
Loughborough,
Leicestershire LE11 3TU

Tel: +44 1509 222179
Fax: +44 1509 223072

E-mail C.Creaser@lboro.ac.uk

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SECTOR 1 - NATIONAL LIBRARIES

COUNTRY: _____

Please refer to the accompanying Notes of Guidance. Verify the figures given below, amending and adding data where necessary. Please supply your best estimates where no data exist.

Name of previous person to complete this form: _____
 Telephone (including extension): _____
 Email (if available): _____
 Full Postal Address: _____

Date when data were last added to the database: _____

<u>LIBRARIES:</u>	1991	1992	1993	1994	1995	1996	1997	1998
1 Total Administrative Units								
2 Number of Respondents								
3 Service Points								
<u>COLLECTIONS:</u>	1991	1992	1993	1994	1995	1996	1997	1998
4 Books & Bound Periodicals								
5 Current Periodicals - Titles								
6 Current Periodicals - Subscriptions								
7 Manuscripts								
8 Microforms								
9 Audio-visual Materials								
10 CD-ROMs								
<u>ADDITIONS:</u>	1991	1992	1993	1994	1995	1996	1997	1998
11 Books & Bound Periodicals								
12 Audio-visual Materials								
<u>FACILITIES & SERVICES:</u>	1991	1992	1993	1994	1995	1996	1997	1998
13 Percentage Stock on Open Access								
14 Percentage Catalogue Records Automated								
15 Number of Workstations for users								
<u>USE AND USERS:</u>	1991	1992	1993	1994	1995	1996	1997	1998
16 Registered Users								
17 Consultations								
18 Number of Visits								
19 Inter Library Loans - Issued								
20 Inter Library Loans - Received								
21 Potential Total Population Served								

..... continued overleaf.

B) List all sources used in the completion of this questionnaire.
Give full bibliographic details of published statistics, or contact details for the compilers of unpublished statistics.

- i _____
- ii _____
- iii _____
- iv _____
- v _____

C) Description of grossing up methodology (if applicable): Was grossing undertaken by the previous respondent? Void

D) Description of any extraordinary activity / factors (if applicable):

E) State the first and last days / calender months in the accounting year: _____

Your Name, if different from the person shown on page 1: _____
 Telephone (including extension): _____
 Email (if available): _____
 Full Postal Address: _____

Please return your completed form to: Claire Creaser, LISU, Loughborough University, Loughborough, Leicestershire LE11 3TU, United Kingdom