

**2002 ACADEMIC LIBRARY SURVEY  
Changes from the 2000 form**

**Part B – Library Staff, Fall 2002**

- Added new column (2) “Salaries and wages”--library expenditures for staff previously in Part C.

Number of full-time equivalents (FTEs) – becomes column (1).

- Contributed services staff dropped for 2002.
- Fringe benefits added to part B.

**Part C – Library Expenditures, Fiscal Year 2002**

- Change in the wording for the Note at top of page: “Do not report the same expenditures more than once” is removed. New wording: “See instructions for exclusions and definitions”.
- Breakout of staff salaries and wages expenditures moved to Part B.
- Total salaries and wages line added to library expenditures.
- Books, serial backfiles, and other materials (one-time purchases) line 10, becomes a total line.

Electronic and Audiovisual lines become subsets of the total line 10.

- Current serial subscriptions (ongoing commitments) line 13, becomes a total line.

Electronic serials line becomes a subset of total line 13.

- Changed “Other materials” to “Other expenditures for information resources”.
- Furniture and equipment line is dropped and is included in “all other operating expenditures”, line 20.
- Fringe benefits lines moved to part B.

### **Part D – Collections, Fiscal Year 2002**

- Paper-volumes changed to “Books, serial backfiles, and other paper materials (include government documents)”.
- Dropped line for Paper–titles
- Added line for E-Books
- Sequence of the next two lines “Current serial subscriptions” and “Audiovisual materials” is reversed.

### **Part E – Library Services, Fiscal Year 2002**

- Divided circulation into general and reserve by having two lines as follows:  
Line 34a - “General circulation transaction”, dropped reserve collection.  
Line 34b - “Reserve circulation transactions”.

### **Part G – Electronic Services**

- Parts G1 and G2 are combined to make one Part G.
- Part G simplified by asking only for a yes/no response to one question “Does your library provide the following?”
- Dropped all but the three items listed below and added one new line:  
Documents digitized by the library staff  
Library reference service by e-mail or on the Web  
Technology to assist patrons with disabilities (e.g., TDD, specially equipped work stations)  
Electronic theses and dissertations – new line added

### **Part G2**

- Combined with G1.

## 2002 ACADEMIC LIBRARY SURVEY

### Instructions and Definitions

#### GENERAL INSTRUCTIONS -

Please respond to each item in this survey in the place provided. If the appropriate answer for an item is zero or none, use "0." If you do not collect data for an item, provide your best estimate. **PLEASE DO NOT LEAVE ANY ITEMS BLANK.** If an item is left blank, NCES will estimate a value using the average for institutions with similar characteristics. Include data for the main or central library and all branch and independent libraries that were open all or part of fiscal year 2002.

**LIBRARY** - An entity that provides all of the following:

1. An organized collection of printed or other materials or a combination thereof
2. A staff trained to provide and interpret such materials as required to meet the informational, cultural, recreational, or educational needs of clientele
3. An established schedule in which services of the staff are available to clientele
4. The physical facilities necessary to support such a collection, staff, and schedule.

This includes libraries that are part of learning resource centers.

**PERIOD OF REPORT** - Report information for the following time periods as specified in each section:

1. **Fiscal year 2002** - Any 12-month period between **June 1, 2001 and September 30, 2002** which corresponds to your institution's fiscal year (for Parts A, B, C, D, and E).
2. **Typical week, Fall 2002** - A typical week is one that is neither unusually busy nor unusually slow. Avoid vacation periods for key staff or days when unusual events are taking place on the campus or in the library. Choose a week in which the library is open its regular hours. Include any seven consecutive calendar days (for Part F).
3. **Fall 2002** - The period during the fall of 2002 when the survey form is being completed (for Parts B, F, and G).

#### PART A - NUMBER OF PUBLIC SERVICE OUTLETS, FISCAL YEAR 2002

**Branch and independent libraries (line 01)** - Report the number of branch and independent libraries at your institution that were open all or part of fiscal year 2002. **EXCLUDE THE MAIN OR CENTRAL LIBRARY.** Branch and independent libraries are defined as auxiliary library service outlets with quarters separate from the central library of an institution. which have a basic

collection of books and other materials, a regular staffing level, and an established schedule.

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

## **PART B - LIBRARY STAFF, FALL 2002**

**Column (1), Full-time equivalent (FTE) employees (lines 02-07)** - Report the number of filled or temporarily vacant FTE positions during Fall 2002 paid from funds under library control. To compute FTEs of part-time employees and student assistants, take the TOTAL number of hours worked per week by part-time employees IN EACH CATEGORY and divide it by the number of hours CONSIDERED BY THE REPORTING LIBRARY TO BE A FULL-TIME WORK WEEK (e.g., 60 hours per week of part-time work divided by 40 hours per full-time week equals 1.50 FTE). Data should be reported to two decimal places.

Do NOT report contributed services staff, such as members of religious orders, whose services are valued by bookkeeping entries rather than by full cash transactions. DO NOT include volunteers.

**Column (2), Salaries and wages (lines 04-07)** - Report expenditures for full-time and part-time salaries and wages before deductions. Exclude employee fringe benefits provided by your institution for all regular library staff that may be reported on line 08b. Include salaries and wages from all sources paid to students serving on an *hourly basis*, if available (e.g., College Work Study Program). *Exclude* maintenance and custodial staff, volunteers, and contributed services staff.

**Librarians (line 02)** - Report the total FTE of staff whose duties require professional education (the master's degree or its equivalent) in the theoretical and scientific aspects of librarianship.

**Other professional staff (line 03)** - Report the total FTE of staff whose duties require education and/or training in related fields (e.g., academic disciplines, archives, media, computing).

**Total librarians and other professional staff (line 04)** - Report the sum of lines 02 and 03, column 1.

**All other paid staff (except student assistants) (line 05)** - Report the total FTE of all other library staff who are paid annual salaries or hourly wages except students *paid hourly*, who are reported on line 06. Include technical and clerical staff, but *exclude* maintenance and custodial staff, volunteers, and contributed services staff.

**Student assistants from all funding sources (line 06)** - Report the total FTE of student assistants, employed on an hourly basis whose wages are paid from funds under library control or from a budget other than the library budget, including College Work Study Program. *Exclude* maintenance and custodial staff, volunteers, and contributed services staff.

**Total FTE staff (line 07)** - Report the sum of lines 04 through 06, columns 1 and 2.

**Employee fringe benefits (line 08a)** — If benefits are paid from the library budget, select “Y” and report the amount in line 08b. If benefits are not paid from the library budget, select “N” and skip to Part C, line 10.

**(line 08b)** - If benefits are paid from the library budget, report the amount here.

## **PART C – LIBRARY EXPENDITURES, FISCAL YEAR 2002**

**Total salaries and wages (line 09)** – This line will automatically be filled in from the total Salaries and Wages Expenditures line 07, column 2, in Part B.

**Expenditures on information resources and operations (lines 10-21)** - Report funds expended by the library in fiscal year 2002 (regardless of when received) from its regular budget and from all other sources; e.g., research grants, special projects, gifts and endowments, and fees for services. If items in this section are not paid from the library budget but can be easily identified in other parts of the institution's budget, report them here. Expenditures should be reported for the 12-month period that corresponds to your library's fiscal year between the calendar period June 1, 2001 to September 30, 2002. All expenditures should be reported in whole dollars in the most appropriate category to provide an unduplicated count of expenditures. *Exclude* expenditures for new buildings and building renovation.

**Information resources (lines 10-17) -**

**Books, serial backfiles, and other materials (one time purchases) (line 10)** - Report expenditures for published materials in all formats except current serial subscriptions.

**Electronic (line 11)** - Report expenditures that are not current serials (i.e. are non-subscription, one-time, or monographic in nature) for software and machine-readable materials considered part of the collections. Examples include periodical backfiles, literature collections, one-time costs for JSTOR membership, etc. These expenditures have already been reported as part of line 10 above. Therefore, line 11 is not added into Total Expenditures on line 21.

**Audiovisual (line 12)** – Report expenditures for all library materials that are displayed by visual projection or magnification or through sound reproduction, or both, including graphic materials, audio materials, motion pictures, video materials, and special visual materials such as three-dimensional materials. These expenditures have already been reported as part of line 10 above. Therefore, line 12 is not added into Total Expenditures on line 21.

**Current serial subscriptions (ongoing commitments) (line 13)** - Report expenditures for current subscriptions to serials in all formats. These are publications issued in successive parts, usually at regular intervals, and, as a rule, intended to be continued indefinitely. Serials include periodicals, newspapers, annuals (reports, yearbooks, etc.), memoirs, proceedings, and transactions of societies.

**Electronic serials (line 14)** – Report subscription expenditures (or those which are expected to be ongoing commitments) for serial publications whose primary format is electronic. Examples include paid subscriptions for electronic journals and indexes/abstracts available via the Internet, CD-ROM serials, and annual access fees for resources purchased on a “one-time” basis, such as literature collections, JSTOR membership, etc. These expenditures have already been reported as part of line 13. Therefore, line 14 is not added into Total Expenditures on line 21.

**Other Information Resources (lines 15-17) -**

**Document delivery/interlibrary loan (line 15)** - Report expenditures for document delivery and interlibrary loan services. Include fees paid for photocopies, costs of facsimile transmission,

royalties and access fees paid to provide document delivery or interlibrary loan. Include fees paid to bibliographic utilities if the portion paid for interlibrary loan can be separately counted. *Do not count* expenditures related to transactions between the main or central library and any libraries reported in Part A, transactions between libraries reported in Part A, or expenditures for on campus delivery.

**Preservation (line 16)** - Report expenditures associated with maintaining library and archival materials for use either in their original physical form or in some other usable way. This includes but is not limited to binding and rebinding, materials conservation, deacidification, lamination, and restoration. *Do not include* staff salaries and wages.

**Other expenditures for information resources (line 17)** – Report any other collection expenditures not already included on lines 9, 12, 14, and 15, such as expenditures for cartographic materials and manuscripts. Include copyright fees and fees for database searches, e.g. (DIALOG, Lexis-Nexis).

**Operating Expenditures (lines 18-20) -**

**Computer hardware and software (line 18)** - Report expenditures from the library budget for computer hardware and software used to support library operations, whether purchased or leased, mainframe or microcomputer. Include expenditures for maintenance. Include the expenditure for equipment used to run information service products when that expenditure can be separated from the price of the product. *Exclude* expenditures reported on line 14.

**Bibliographic utilities, networks, and consortia (line 19)** - Report expenditures for services provided by national, regional, and local bibliographic utilities, networks, and consortia. *Exclude* expenditures already reported on lines 11, 14, and 15.

**All other operating expenditures (line 20)** - Report all other expenditures not already reported on lines 09 through 18 except employee fringe benefits that are reported on line 08b. *Exclude* expenditures for new buildings and building renovations. Include all expenditures for furniture and equipment except computer hardware, which should be reported on line 18. Include any related maintenance costs.

**Total Expenditures (line 21)** - Report the sum of lines 09, 10, 13, 15 through 20.

**PART D - LIBRARY COLLECTIONS, FISCAL YEAR 2002**

**NOTE** - This section of the survey collects data on selected types of material. It does not cover all materials.

**Column (1), Total number added during fiscal year** - Report the gross number of each category added. Do not subtract the number withdrawn.

**Column (2), Total number held at end of fiscal year** - Report the total number of each category held at end of fiscal year. To get this figure, take the total number held at the end of the previous fiscal year, add the number added during the fiscal year just ended and subtract the number withdrawn during that period.

**Books, serial backfiles and other paper materials (include government documents) (line 22)**

– Report the number of volumes using the ANSI/NISO Z39.7-1995 definition for volume, which is as follows: *A single physical unit of any printed, typewritten, handwritten, mimeographed, or processed work, distinguished from other units by a separate binding, encasement, portfolio, or other clear distinction, which has been catalogued, classified, and made ready for use, and which is typically the unit used to charge circulation transactions.*

Include duplicates and bound volumes of periodicals. For purposes of this questionnaire, unclassified bound serials arranged in alphabetical order are considered classified. Exclude microfilms, maps, nonprint materials, and uncataloged items. Include Government document volumes that are accessible through the library’s catalogs regardless of whether they are separately shelved. “Classified” includes documents arranged by Superintendent of Documents, CODOC, or similar numbers. “Cataloged” includes documents for which records are provided by the library or downloaded from other sources into the library’s card or online catalogs. Documents should, to the extent possible, be counted as they would if they were in bound volumes (e.g., 12 issues of an annual serial would be one or two volumes). Title and piece counts should not be considered the same as volume counts. If a volume count has not been kept, it may be estimated through sampling a representative group of title records and determining the corresponding number of volumes, then extrapolating to the rest of the collection. As an alternative, an estimate may be made using the following formulae: *52 document pieces per foot, 10 “traditional” volumes per foot.*

**E-Books (line 23)** – Report the number of electronic monographs that have been purchased by your library and are accessible through the library’s catalog. Do not include e-books that belong to a consortium.

**Microforms (line 24)** – Report units of all photographic reproduction of textual, tabular, or graphic materials reduced in size so that they can be used only with magnification. Examples of microforms are roll microfilm, microcard, microfiche, and ultrafiche.

**Audiovisual Materials (line 25)** – Report units of all library materials that are displayed by visual projection or magnification or through sound reproduction, or both, including graphic materials, audio materials, motion pictures, video materials, and special visual materials such as three-dimensional materials.

**Current serial subscriptions (line 26)** – Report the total number of subscriptions in all formats. If the subscription comes in both paper and electronic form, count it twice. Count electronic subscriptions if they are received as part of the subscription to a print serial, if they are managed as independent, individual subscriptions, and if they are received as part of publisher’s package (e.g., Project MUSE, Academic IDEAL). Do not count the titles included in full-text article databases such as Lexis-Nexis, ABI/INFORM. Include paper and microfilm government documents issued serially if they are accessible through the library’s catalog.

## **PART E - LIBRARY SERVICES, FISCAL YEAR 2002**

**Interlibrary loans (lines 27-32)** - On lines 27, 28, and 29, report the number of filled requests for material provided to other libraries. On lines 30, 31, and 32, report the number of filled requests for material received from other libraries. *Do not include* transactions between the main or central library and any libraries reported in Part A or transactions between libraries reported in



Part A.

**Returnables (lines 27 and 30)** - Report materials that the supplier/lending library expects to have returned. Examples of returnables include books, dissertations and theses, microfilm reels, sound recordings, and audiovisual material.

**Non-returnables (lines 28 and 31)** - Report materials that the supplier/lending library does not expect to have returned. Examples of non-returnables include photocopies or facsimiles, fiche-to-fiche copies, print copies from microfilm, electronic full-text documents, and gratis print copies of unpublished reports and/or departmental working papers.

**Total loans (lines 30 and 33)** - Sum lines 27 and 28 for line 29, and sum lines 30 and 31 for line 32.

**Documents delivered from commercial services (line 33)** - Report the number of documents from commercial document delivery services received by your users. Count all transactions for which the library pays even if library staff is not involved in the transaction. Include documents received by regular or express mail, by fax, or in electronic form.

**General circulation transactions (line 34a)** - Report the number of items lent from the general collection. Include both initial transactions and renewals.

**Reserve circulation transactions (line 34b)** - Report reserve transactions of all types. Include both initial transactions and renewals.

**Information services to groups (lines 35 and 36)** - Report the total number of presentations (line 35) and the total number of persons attending or served by those presentations (line 36). Information services to groups are presentations at which a staff member or person invited by a staff member provides information intended for a number of persons and planned in advance. These services may be either bibliographic instruction or library use presentations, or cultural, recreational, or educational presentations. Presentations both on and off the library 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.

## **PART F - LIBRARY SERVICES - TYPICAL WEEK, FALL 2002**

Collect data during a typical week in the fall. A typical week is one that is neither unusually busy nor unusually slow. Avoid vacation periods for key staff or days when unusual events are taking place on the campus or in the library. Choose a week in which the library is open its regular hours. Include any seven consecutive calendar days. If waiting for a typical week in Fall 2002 will delay this form, please use typical week data from the preceding fiscal year. If you have data for the entire year, divide by the number of weeks that the library was open.

**Hours open in a typical week (line 37)** - Report an unduplicated count of hours open in a typical week for both main library and branches reported in Part A using the following method. If a library is open from 9 a.m. to 5 p.m., Monday through Friday, it should report 40 hours per week. If several of its branches are also open during those hours, the figure remains 40 hours per week. Should Branch A also be open one evening from 7:00 to 9:00, the total hours during which users can find service becomes 42. If Branch B is open the same hours on the same evening, the

total remains 42, but if it is open two hours on another evening, or from 5:00 to 7:00 on the evening when Branch A is open later, the total becomes 44 hours during which users can find service.

**Gate count in a typical week (line 38)** - Report the number of persons who physically enter library facilities in a typical week. It is understood that a single person may be counted more than once.

**Reference transactions in a typical week (line 39)** - Report the total number of reference transactions in a typical week. A reference transaction is an information contact that involves the knowledge, use, commendation, interpretation, or instruction in the use of one or more information sources by a member of the library staff. Information sources include printed and non-printed materials, machine-readable databases (including assistance with computer searching), the Web, catalogs and other holdings records, and, through communication or referral, other libraries and institutions, and persons both inside and outside the library. Include transactions in person, by phone, by e-mail, by the Web, and count transactions that take place at the reference desk, as well as elsewhere. Include information and referral services. If a contact includes both reference and directional services, it should be reported as one reference transaction. When a staff member utilizes information gained from a previous use of information sources to answer a question, report as a reference transaction, even if the source is not consulted again during this transaction. Duration should not be an element in determining whether a transaction is a reference transaction.

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

## **PART G - ELECTRONIC SERVICES**

This section requests information about the electronic services provided by the library. The questions require a "yes" or "no" response.

**2002 ACADEMIC LIBRARY SURVEY**

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**SURVEY ELIGIBILITY**

**Please answer the following questions to determine if you need to complete this survey:**

- |  | <b>Yes/No</b> |
|--|---------------|
| a. Do you have an organized collection of printed or other materials or a combination thereof?   | _____         |
| b. Do you have a staff trained to provide and interpret such materials as required to meet the informational, cultural, recreational, or educational needs of clientele? | _____         |
| c. Do you have an established schedule in which services of the staff are available to clientele?  | _____         |
| d. Does the library have the physical facilities necessary to support such a collection, staff, and schedule?  | _____         |
| <p>(This question will popup if any of the 4 questions above are answered no.)</p>   |               |
| e. Do you provide financial support to another library?  | _____         |

2002 ACADEMIC LIBRARY SURVEY

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PART A – NUMBER OF PUBLIC SERVICE OUTLETS, FISCAL YEAR 2002

Line No.	Item	Number
01	Branch and independent libraries – Exclude main or central library	_____

**PART B – LIBRARY STAFF, FALL 2002**

(Exclude maintenance and custodial staff, volunteers and contributed services staff)

Note: Report data to two decimals.

Line No.	Staff	Number of full-time equivalents (FTEs) (1)	Salaries and wages (whole dollars only) (2)
02	Librarians	_____	\$ _____
03	Other professional staff	_____	\$ _____
04	<b>Total librarians and other professional staff</b> (sum lines 02 and 03, col. 1)	_____	\$ _____
05	All other paid staff (except student assistants)	_____	\$ _____
06	Student assistants from all funding sources	_____	\$ _____
07	<b>Total full-time equivalent (FTE) staff</b> (sum lines 04 through 06, cols. 1 & 2)	_____	\$ _____
08a	Are employee fringe benefits paid from the library budget? If no, select "N" and skip to Part C, line 10		_____ (Yes/No)
08b	Employee fringe benefits (if paid from library budget)		\$ _____

## 2002 ACADEMIC LIBRARY SURVEY

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### PART C - LIBRARY EXPENDITURES, FISCAL YEAR 2002

Note: See instructions for exclusions and definitions.

<b>Line No.</b>		<b>Amount (whole dollars only)</b>
09	<b>Total salaries and wages (same as line 07, col. 2):</b>	\$ _____
	<b><u>Information resources:</u></b>	
10	<b>Books, serial backfiles and other materials (one-time purchases)</b>	\$ _____
11	Electronic	\$ _____
12	Audiovisual	\$ _____
13	<b>Current serial subscriptions (ongoing commitments)</b>	\$ _____
14	Electronic serials	\$ _____
	<b><u>Other information resources:</u></b>	
15	Document delivery/interlibrary loan	\$ _____
16	Preservation	\$ _____
17	Other expenditures for information resources	\$ _____
	<b><u>Operating expenditures:</u></b>	
18	Computer hardware and software (include maintenance)	\$ _____
19	Bibliographic utilities, networks and consortia	\$ _____
20	All other operating expenditures	\$ _____
21	<b>TOTAL EXPENDITURES (Sum lines 09, 10, 13, 15 through 20)</b>	\$ _____

2002 ACADEMIC LIBRARY SURVEY

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PART D – LIBRARY COLLECTIONS, FISCAL YEAR 2002

Line No.	Collections	Added during the Fiscal Year (1)	Held at end of Fiscal Year (2)
22	Books, serial backfiles and other paper materials (include government documents)	_____	_____
23	E-Books	_____	_____
24	Microforms	_____	_____
25	Audiovisual materials	_____	_____
26	Current serial subscriptions	_____	_____

## 2002 ACADEMIC LIBRARY SURVEY

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### PART E – LIBRARY SERVICES, FISCAL YEAR 2002

Note: See instructions for exclusions and definitions.

<b>Line No.</b>	<b>Services</b>	<b>Number</b>
<b><u>Interlibrary loans provided to other libraries:</u></b>		
27	Returnable	_____
28	Non-returnable	_____
29	<b>Total provided</b> (sum lines 27 and 28)	_____
<b><u>Interlibrary loans received from other libraries:</u></b>		
30	Returnable	_____
31	Non-returnable	_____
32	<b>Total received</b> (sum lines 30 and 31)	_____
33	Documents delivered from commercial services	_____
34a	General circulation transactions	_____
34b	Reserve circulation transactions	_____
<b><u>Information services to groups:</u></b>		
35	Number of presentations	_____
36	Total attendance at all presentations	_____



2002 ACADEMIC LIBRARY SURVEY

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**PART F – LIBRARY SERVICES, TYPICAL WEEK, FALL 2002**

Note: See instructions for exclusions and definitions.

<b>Line No.</b>	<b>Services</b>	<b>Number in a typical week</b>
37	Hours open in a typical week	_____
38	Gate count in a typical week	_____
39	Reference transactions in a typical week	_____

## 2002 ACADEMIC LIBRARY SURVEY

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### PART G – ELECTRONIC SERVICES

Please respond to each item by selecting “Y” or “N”. If answering for more than one library, select “Y”, if at least one has the service.

<b>Line No.</b>	<b>Services</b>	<b>Yes/No</b>
	<b><u>Does your library provide the following?</u></b>	
40	Documents digitized by the library staff	_____
41	Library reference service by e-mail or the Web	_____
42	Technology to assist patrons with disabilities (e.g., TDD, specially equipped work stations)	_____
43	Electronic theses and dissertations produced by your students	_____
	<b><u>Consortial services:</u></b>	
44	Does your state have one or more state subsidized library consortium that provides access to electronic resources? <b>If no, select “N” and skip to line 48.</b>	_____
45	Does your library participate in the consortium? <b>If no, select “N” and skip to line 48.</b>	_____
46	Is the cost of your library’s participation fully funded by the state? <b>If yes, select “Y” and skip to line 48.</b>	_____
47	Is the cost of your library’s participation partially funded by the state?	_____
48	Does your library participate in any other consortia for access to electronic resources?	_____