



## Survey Notes of Guidance

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### Introduction

The LIBECON Project [<http://www.libecon.org/default.asp>] aims to collect library statistics from as many countries as possible and make them available in a convenient format. To achieve this, LIBECON aims to comply with ISO 2789 **Information and documentation — International library statistics**. These notes are compiled in August 2002 and are based on the revision edition of ISO 2789

It is hoped that compilers of statistics at national level will adopt the ISO changes as soon as possible and revise their own definitions to comply with the standard.

Definitions are unchanged from the survey circulated in 2002.

### 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 as in ISO 2789, namely:

#### **1. National library:**

Library that is responsible for acquiring and conserving copies of all relevant documents in the country in which the library is located; it may function as a legal deposit library [adapted from ISO 5127-1]

NOTE 1 It will also normally perform some or all of the following functions: produce the national bibliography, hold and keep up to date a large and representative collection of foreign literature including documents about the country; act as a national bibliographic information centre; compile union catalogues; supervise the administration of other libraries and/or promote collaboration; co-ordinate a research and development service, etc.

NOTE 2 The definition of 'national library' allows for more than one in a country. [Definition is unchanged]

## **2. Libraries of Institutions of Higher Education:**

Libraries whose primary function is to serve students, academic and professional staff in universities and other institutions of education at the third (tertiary) level and above; may also serve the general public.

## **3. Public Libraries:**

General library that serves the whole population of a local or regional community and is usually financed, in whole or in part, from public funds. It can be intended for the general public or special groups of users such as children, visually impaired persons, hospital patients or prisoners. **Its basic services are free of charge or available for a subsidized fee.** This definition includes services provided to schools by a public library organisation.

## **4. Special Libraries:**

Independent libraries covering one discipline or particular field of knowledge or a special regional interest. Includes libraries primarily serving a specific category of users, or primarily devoted to a specific form of document, or libraries sponsored by an organisation to serve its own work-related objectives.

NOTE Statistics of special libraries should be collected and presented separately for those in the following areas (differentiated as to funding institutions).

For the purposes of this survey, Special Libraries are divided into - 7 subgroups, as follows:

### **a. Government Libraries:**

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

### **b. Health Service / Medical 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. Library of Professional and Learned Institutions and 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 and Commercial Library:**

Libraries any industrial enterprise or business firm, maintained by the parent organisation to serve the information needs of its staff. Include libraries maintained by information and management consultants, manufacturing and service industries and **commercial legal practices..**

### **e. Media Library:**

Libraries serving media and publishing firms and organisations, including newspapers, publishers, broadcasting, film and television.

### **f. Regional Library:**

Major library serving a particular region whose primary function cannot be described as that of a public or academic library nor as part of a national library network.

### **g. Other:**

Any library not included elsewhere e.g. libraries within voluntary organisations, museums, etc.

A return is also included for the total of all special libraries.

## 5. School Libraries:

Libraries attached to all types of schools and colleges below the third [tertiary] level of education whose primary function is to serve the pupils and teachers of such a school. **It may also serve the general public.** This includes libraries and resource collections in all educational institutions below the third level which may be described as "Colleges", "Colleges of further education", "Vocational Institutes" etc.

**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.**

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## **Accounting Periods and Currency Denominations**

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 1998 to 31 March 1999, they should be entered in the column headed "1998", and the "Accounting Period" should be shown as "1 April to 31 March". Where data refer to the accounting year 1st August 1998 to 31 July 1999, they should be entered in the column headed "1999", and the "Accounting Period" should be shown as "1 August to 31 July". Where data refer to the accounting year 1st July 1998 to 30 June 1998, they should be entered in the column headed "1998", and the "Accounting Period" should be shown as "1 July to 30 June".

**If your country is a member of the eurozone and you find it preferable to express your financial data in Euros please do so but indicate clearly on your return that you have done so.**

**There is a facility to enter information on either a 'national currency' or 'Euro' sheet in the survey form.**

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.libecon.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..

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## **Grossing Up**

All figures written onto the questionnaire 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. [This section is unchanged].

# Definitions for Activity Statistics

## Libraries

- **Administrative Unit:**  
Any independent library, or a group of libraries, under a single director or a single administration.

NOTE 1 The term "independent" does not imply legal or financial independence but only that the library is a recognizably separate unit, typically within a larger organization.

NOTE 2 Typically the administrative unit is an organization containing a central/main library, branch libraries administrative functions. [Definition unchanged. Notes added].

- **Service Points main libraries, branch libraries, mobile libraries and external service points - :**  
ISO 2789 does not use the term service point but divides libraries into **main libraries, branch libraries, mobile libraries and external service points. LIBECON will NOT collect data on external service points. Definitions are as follows:**

### **Central/main library**

Usually that part or those parts of an administrative unit where the main administrative functions and the important parts of the library collection and services are located.

NOTE An administrative unit comprising several branch libraries does not necessarily include a central library.

### **Branch library**

Part of a larger administrative unit providing in separate quarters a service for a particular user group (e.g. children, faculties) or for a locally defined clientele

NOTE Institute, departmental and other affiliated libraries are included. Mobile libraries are excluded.

### **Mobile library**

Library, sometimes a division of a public library, using specially equipped transport and furnished to provide documents and services direct to users as an alternative to access on library premises [adapted from ISO 5127-1].

### **External service point**

Point away from library premises at which a certain service is regularly offered to users.

NOTE 1 This includes places within a locality at which library material is deposited for informal circulation to a restricted group of users but without other library services – for example old peoples' homes, community centres, collections for hospital patients etc. Mobile libraries are excluded.

NOTE 2 The points at which mobile libraries stop are not counted as external service points.

NOTE 3 A simple PC connection to a place outside the library (e.g. in students' home) is not counted as an external service point.

**Returns to LIBECON should EXCLUDE external 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). LIBECON does not aim for an exhaustive listing of ALL library materials. ISO 2789 makes considerable revision of types of electronic material. We do not aim to reflect all of these in the LIBECON survey.

- **Additions:**  
Number of physical units added to stock.  
**Only for Books & Bound serials and Audio-visual Materials.**

### **Addition (acquisition)**

Document or item added to a collection during the reporting period

NOTE Additions may be obtained, for example, by purchase, licensing, legal deposit, donation, or exchange.

- **Books and Bound serials [printed material]:**

"Books" should be counted in volumes. A **volume is a** physical unit for a printed document assembling a certain number of leaves under one cover to form a whole or part of a set [ISO 5127-3A]

A **serial is a** document in print or in non-print form, issued in successive parts, usually having numerical or chronological designations, and intended to be continued indefinitely, whatever its periodicity [ISO/FDIS 5127]

NOTE 1 Monographic series are excluded and should be counted as books.

NOTE 2 For the purpose of this International Standard, serials are subdivided into newspapers and periodicals, each of these by format into electronic and non-electronic serials.

Bound periodicals should be counted as physical units. Unbound periodicals and newspapers should be included in the count as if they were collected into bound physical units. Usually a volume will comprise the issues of one year. One loose-leaf binder should be counted as one physical unit. (Serials held in microform are counted as microforms - see below.)

- **Current Serials:**  
**Definition as above.**

- **Titles and subscriptions**

The number of serial TITLES received by administrative units during the year of account, and the total number of serial SUBSCRIPTIONS taken at the end of the year of account.

- **Electronic serials**

Serial published in electronic form only or in both electronic and other format

NOTE Comprises serials held locally and remote resources for which access rights have been acquired, at least for a certain period of time.

- **Manuscripts:** (Not applicable to sectors: 4B Health service libraries; 4D Industrial and commercial libraries; 5 School libraries).  
Number of physical units. **Manuscript** original document that is hand-written, or in typescript.

NOTE Bound volumes and other units (fragments, rolls, autographs etc.) may be counted separately.

- **Microforms:** (Not applicable to sector 5 School libraries)  
Photographic documents requiring magnification when used. Include microfiche and microfilm. Count the number of individual sheets and rolls of microfilm.

- **Audio-Visual Materials:**

Documents in which sound and/or pictures are prominent and which require the use of special equipment in order to be seen and/or heard. Number of physical units. Physical units will usually be CD cases, record sleeves or cassette, or video boxes.

Exclude CD-ROMs which should be reported separately for purposes of LIBECON (see below).

NOTE 1 This includes audio documents such as records, tapes, cassettes, audio compact discs, files of digital audio recordings; visual documents such as slides, transparencies, and combined audio-visual documents such as motion pictures, video recordings, etc. Microforms are excluded.

- **CD-ROMs:**

Number of physical units. **Compact Disc Read-Only Memory - CD-ROM** computer based information storage and retrieval medium based on laser technology that contains data in text and/or multimedia formats

Note: LIBECON departs here from ISO 2789. ISO 2789 counts CD-ROMs according to their contents as database, digital document, and electronic serial.

- **Electronic book (E-Book)**

Digital document, licensed or not, where searchable text is prevalent, and which can be seen in analogy to a print book (monograph). The use of E-Books is in many cases dependent on a dedicated device and/or a special reader or viewing software.

NOTE 1 E-Books can be lent to users either on portable devices (E-Book readers) or by transmitting the contents to the user's PC for a limited time period.

NOTE 2 Doctoral dissertations in electronic format are included.

Number of E-Books in the electronic collection (titles);

## **Facilities and 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. An estimated percentage is acceptable where accurate figures are not available.

- **Percentage Catalogue Records Automated:**

The average percentage of catalogue records which are held on a computer system, whether directly accessible to users or not. An estimated percentage is acceptable where accurate figures are not available.

- **Number of seats for users**

Seats provided for users for reading or studying whether with or without equipment.

NOTE Includes seats in carrels, in seminar and study rooms and the audio-visual and children's departments of the library. Excludes seats in halls, lecture and auditory theatres intended for audiences of special events. Also excludes floor space on which users may sit and similar informal seating.

- **Net usable floor space (square metres)**

Includes space for readers and reading areas, materials shelving and storage areas, staff working areas, space for services to clientele, public service desks, exhibit space, equipment areas, aisles, and all other space used for library resources and services. Excludes vestibules, lobbies, traffic areas, janitorial or custodial storage and service areas, rest rooms, staff recreation areas, cafés, elevators, stairway space, building corridors, space occupied by heating ventilation and cooling devices.

- **Number of Workstations for Users:**

The total number of computer workstations on the library premises available to users for any purpose.

**Workstation:** computer that may stand alone or be networked, or a dumb terminal [Revised definition of workstation]

## Use and Users

- **Registered Users:**

**Registered user:** person or organization registered with a library in order to use its collection and/or services within or away from the library.

Number of registered users (at the end of reporting time period).

This definition now applies to all sectors for which this information is sought [a change for sectors 1, 2, and 3.

- **In-house use:** documents taken by a user from open access stock for use on the premises

NOTE In-house use includes browsing at the shelves in the sense of a short investigation of the contents, but excludes looking at the titles only for selecting material.

Number of physical units removed from open access shelves by users for use on the premises, including browsing at the shelves. This count may be estimated by one of several methods:

- reshelving count;
- observation studies;
- user questionnaire (handed out before the search).

NOTE 1 The annual total is to be established from a sample count. The sample should be taken in one or more normal weeks and grossed up.

NOTE 2 On-site loans should – if possible – be excluded or deducted (to avoid double counting).

[This replaced “consultations” for national libraries and was new for all other sectors in 2002 survey].

- **On-site loans**

On site loan: document delivered, in most cases from closed access, for use on the premises.

Number of on site loans..

- **Loan Transactions [Ordinary loans]:**

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.

- **Number of Visits:**

**Visit:** a user entering the library premises. Number of visits made by users to the library premises annually.

This may be counted at either entrance or exit by turnstile count, electronic counter or manual count. Grossed up samples may be used.

- **Number of Virtual Reference Transactions:** (Applicable only to sector 3 Public Libraries)

Annual count of the number of reference transactions using the Internet. A transaction must include a question received electronically and responded to electronically. [More detail on methodology can be found in Statistics and Performance Measures for Public Library Networked Services, ALA, 2001, ISBN 0 8389 0796 2 9000].

- **Number of Virtual Visits to Networked Library Resources:** (Applicable only to sector 3 Public Libraries)

**Virtual visit** a user's request of the library web site from outside the library premises regardless of the number of pages or elements viewed

Count of visits to the library via the Internet. A visit occurs when an external user connects to a networked library resource for any length of time or purpose [regardless of the number of pages or elements viewed]. Examples of networked library resource include a library OPAC or a library web page. In the case of a user visit to a library web site a user who looks at 16 pages and 54 graphic images registers one visit on the webserver. [More detail on methodology can be found in Statistics and Performance Measures for Public Library Networked Services, ALA, 2001, ISBN 0 8389 0796 2 9000].

- **Sector Population to be Served: IPF will supply this data element from standard international statistical sources EXCEPT in the case of Sector 4 [Special Libraries] where it should be completed by respondents.**

**In Special Libraries the sector population to be served is the 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 its services from time to time.**

## **Library Employees**

**A library employee is a person who works for a library in return for payment.** 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).

### **Professional staff:**

Person, employed in a library, who has received training in librarianship and/or information science and whose duty requires professional training.

NOTE The training may be by formal education or by means of an extended period of work of a professional nature, in a library, under supervision.

### **Qualified specialist staff**

Library employee who has received training in a specialist discipline other than librarianship and/or information science.

NOTE The training may be by formal education or by means of an external period of work of a professional nature under supervision in a specialization such as accountancy, computing, staff management, bookbinding etc.

### **Other staff:**

All other library employees without formal qualification in librarianship/information science or other relevant specialization.

## **Recurrent Expenditure**

**Recurrent (ordinary) expenditure:** expenditure incurred in the running of a library.

NOTE Money spent on staff and on resources that are used and replaced regularly [ISO 11620]. This includes expenditure on employees, rent, acquisitions, licensing, binding, computer network – operations and maintenance –, telecommunication, building maintenance, etc. May also be termed 'current' or 'operating' expenditure. When applicable, local and national sales/purchase taxes (e.g. Value Added Tax, VAT) are included.

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. This expenditure should be shown as far as possible under the following headings:

- **Employees:**  
This figure includes salaries, overtime payments, pension and social security 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. Include the cost of binding. 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:**  
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".
- **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 Expenditure:**  
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.  
[This breakdown is unchanged and does not wholly conform to the ISO expenditure breakdown.]

## **Income**

This section was substantially changed for the 2002 survey to bring it into line with the ISO 2789 revision. All sectors are now asked for the same information.

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

- **Funding from the library's own institution or parent authority**
- **Funds from other public sources**
- **Funds from corporate and private sources (including donations)**
- **Special grants:** Grants of a non-recurrent nature to fund (or part fund) major projects.
- **Income generated:** Income generated by library operations and from fees, charges, subscriptions and donations that is available to the library for expenditure.

## **Capital Expenditure** (not applicable to sector 5 School Libraries)

**Capital expenditure:** expenditure which results in the acquisition of, or addition to, fixed assets.

NOTE This includes expenditure on building sites, new buildings and extensions, furnishings and equipment, computer systems – hardware and software –, etc. When applicable, local and national sales/purchase taxes (e.g. Value Added Tax, VAT) are included. Licensing costs should be counted as ordinary expenditure.

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.**