APPENDIX B:

Data-Collection Instruments

1. Collections development
   - Review and identify materials for selection, including gift and exchange and aggregations
   - Review and identify materials or formats for cancellation
   - Collection analysis and work with collection reports (including vendors, in-house)
   - Maintain relevant collections development statistics
   - Usage statistics gathering and analysis
2. Negotiations and licensing
   - Work with consortia, vendors, publishers, etc.
   - Discuss and attempt to alter pricing and other terms
3. Subscription processing, routine renewal, and termination
   - Order new subscriptions, not including collection development (see #1 above). Includes downloading bibliographic record, verifying title information, and creating the purchase order.
   - Register and activate electronic subscriptions
   - Renew existing subscriptions and licenses, including receiving, verifying, accepting vendor quotes. Does not include negotiating (see #2 above).
   - Order periodical back-orders, microfilm backfiles
   - Maintain access to electronic subscriptions, including claiming missing or incomplete items and communicating with vendors and publishers regarding access problems
   - Cancel subscriptions or licenses, not including collection development decisions (see #1 above).
   - Notify vendors of IP range changes for electronic subscriptions
   - Claiming missing items
   - Identify and place orders for missing/lost items
   - Set up vendor information in payment system, post invoices there
   - Verify and approve payments and transfer information to accounts payable
   - Investigate invoice payments for vendors and publishers
4. Receipt and check-in
   - Periodicals delivery to campus (preparing bins, boxes, etc)
   - Periodicals check-in (for the currently received issues)
   - Identify and make changes to current issue display (includes addition of notes and setting up or changing check-in patterns)
5. Routing of issues and/or tables of contents
   - Create and maintain periodical route lists
   - Perform actual routing for periodicals and related follow-up
6. Cataloging
   - Copy, original, and enhanced cataloging for new periodicals and for title changes, cessations, etc
   - Catalog maintenance, including updating URLs
   - Create or maintain a list of journals, Web-based or otherwise, other than the OPAC itself
   - Perform authority control functions on records
   - Create and update volume holdings
   - Correct holdings and check in errors

- Withdrawal activities (location information and last copy withdrawal)
- Union listing activities with OCLC, RLG, etc

7. Linking services
- Maintain and enhance linking services such as SFX

8. Physical processing
- Spine labeling
- Bar coding
- Inserting and applying bookplates
- Tattle-taping
- Stamping and marking
- Binding, rebinding, and related activities
- Initial shelving of item upon receipt

9. Stacks maintenance (including microform and current issues areas)
- Shelf-reading of current periodicals and bound volumes
- Shelf maintenance; i.e., labeling shelves/ranges
- Collection shifting
- Collection weeding, including transfer of journals to remote storage
- Cleaning of stacks and materials

10. Circulation
- Checkout
- Paging
- Searching for missing items
- Recalling overdue materials
- Check-in
- Reserves activities
- Reshelving as a result of circulation or other use

11. Reference and research
- Directional/access questions
- Reference assistance, including over the phone, Internet, and in person
- Assistance that requires going "off the desk" (such as to the stacks)
- Creation of resources/guides

12. User instruction
- Prepare for and conduct tours, briefings, sessions, demonstrations
- Other user instruction

13. Preservation
- Conservation and repair
- Preservation microfilming
- All preservation/archiving associated with electronic periodicals
- Disaster recovery planning and activities
- Binding is not included in this category: see item #8 above

14. Electronic infrastructure and support
- This category is intended to capture those activities, for any format, that require electronic infrastructure and associated support, including:
  - Maintaining hardware and software for OPAC, Library Management System, and other relevant servers
  - LAN support
  - Workstation support
  - Other relevant systems office activities

15. Other
- Please explain in detail on the activity log

ACTIVITY LOG

**Study of the Operating Costs of
Periodicals Collections in Various Formats**

Staff Activity Log – Representative Month

The materials that you now have in hand are part of a study that is being conducted in order to learn about library operating costs for different kinds of periodical collections. The data that this study will gather are important to us because they will help to shape JSTOR's new Electronic-Archiving Initiative, which has as its goal the long-term preservation of electronic versions of scholarly materials. Insuring the longevity of these materials is a challenging task, and this study is a most important early step in the effort. Your personal help with this important effort is sincerely appreciated. Your library is one of a small number of academic libraries partnering with us in this research effort. Through this study, we are hoping in particular to understand the economic effects of the transition from print toward electronic journals, which will in turn help us to understand how an archive of electronic journals will relate to existing library costs.

There are two components to this study. The most important component is the one that you are now reading, the Staff Activity Log. We hope that you will help us by carefully completing this document, which will allow us to understand how you and the other staff of your library contribute to the periodicals operation. Be assured that this study has been carefully designed to ensure your personal anonymity. The second component to this study is an Institutional Survey, which is being completed by your library to document other components of periodicals work. Together, these two components should provide JSTOR, and the broader scholarly community, with unprecedented data on the internal operating costs of the various periodicals formats. This in turn will help to inform all manner of decisions about periodicals collecting and storage.

Thank you very much in advance for your assistance in this effort. We appreciate the time and attention that you are giving to this project.

-Eileen Gifford Fenton and Roger Schonfeld

Instructions

We ask you to complete the Staff Activity Log on the attached sheet to help determine what activities related to periodicals you have performed in a recent representative month and to indicate how much time you spent on these activities. This will be easiest to do if you begin by identifying your work-related activities and locate them on the Activity List (which is provided separately). Then, specify the format related to each activity. Finally, estimate the percentage of the representative month that you devoted to each activity. Please be sure to read the definition of periodicals carefully and consult the more detailed directions below.

Definition of periodicals. Please note that periodicals are defined as serial publications that contain separate articles, stories, other writings, etc., and are published or distributed generally more frequently than annual. Newspapers and monographic serials are NOT periodicals.[43]

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[43] This definition is substantively identical to, and was adapted from, the 006 code for Type of Continuing Resource, which appears in the Online Computer Library Center's *Bibliographic Formats and Standards*, Third Edition, available at http://www.oclc.org/bibformats/ .

Identify your activities. Please look through the Activity List and select the activities that best describe your work related to periodicals. Make a note of any periodicals-related activity that you performed in the month in any capacity of your library job. If you did not hold your present position for the entire month, please estimate the work that would have been if completed if you had worked the entire month. Don't worry about listing the activities in any particular order. Find the activity number on the Activity List and record it on the Staff Activity Log along with a brief description.

If you only work with periodicals as part of your job (say, half the day in serials cataloging, the other half in general reference), you can lump together all the non-periodical activities without breaking them down further.

Vacation, sick leave, and holidays should be indicated as a separate activity. Breaks, not including lunch, should also be indicated as a separate activity.

In past studies, it has been useful for the participants to first think about your occasional or irregular activities. Then think about your daily activities, such as lunch, coffee breaks, checking and responding to email, and so forth. Next, identify your regular periodicals-related activities. Finally, be sure to complete the Staff Activity Log's last line, indicating any non-periodicals work that you perform.

Note the periodical format. It is vitally important for this study that you note as accurately as possible how your activities are distributed among the four formats, Hardcopy Current Issues (C), Hardcopy Backfiles (H), Microform (M), or Electronic (E). Please record the format on the appropriate column of the Staff Activity Log. *If a given activity involves more than one format, please split it into separate activities, one for each format*.

Estimate the time spent. You can provide this information using either hours or percentages, whichever will be easier and more accurate for you. Record the amount or proportion of time you spent in the month performing each activity you have listed.

As a guide, if you work 9 to 5, i.e. a 40-hour week, each day is about 5% of your month. Therefore, if you took one week of vacation, it would account for 25% of your month. Two 15-minute coffee breaks taken each day account for about 6% of your monthly time. On the reverse of this page is a guide for converting actual time spent to a percentage of total time. Be sure the percentage column totals 100%.
Send your completed Staff Activity log in the stamped, addressed envelope provided.

Guide for converting "Actual Time" to "Percentage of Time" for a 40-hour Work Week

Actual Time	Percentage (Rounded) of the Month
Two hours	1%
One day, assuming 6 hours worked	4%
One full day, 8 hours total	5%
One full week, or 40 hours total	25%
Two coffee breaks at 15 minutes each day	6%
One hour per day, every day	13%

Formula. Often, it will be easier to convert the amount of time you worked on an activity into a percentage based on this formula:

% = (# of hours spent on one activity) ÷ (# of hours you work in a given month)

SAMPLE COMPLETED ACTIVITY LOG

Activity Number (1-15) See Activity List	Activity Please take language from the Activity List or jot a more detailed activity description.	Format Hardcopy Current Issues (C) Hardcopy Backfiles (B) Microform (M) Electronic (E)	Time Spent in the Representative Month Express as a Number of Hours or as a Percentage
3	Maintain access to e-subscriptions	E	20%
5	Route electronic TOCs to faculty	E	10%
11	Provide reference services	E	10%
11	Provide reference services	B	10%
11	Provide reference services	C	5%
1	Select periodicals for the collection	E	10%
N/A	Breaks (not including lunch)	N/A	20%
N/A	Vacation, holidays, and sick leave	N/A	5%
N/A	Non-Periodicals Work	N/A	10%
	Total		100%

Staff Activity Log

Activity Number (1-15) See Activity List	Activity Please take language from the Activity List or jot a more detailed activity description.	Format Hardcopy Current Issues (C) Hardcopy Backfiles (B) Microform (M) Electronic (E)	Time Spent in the Representative Month Express as a Number of Hours or as a Percentage
			%
			%
			%
			%
			%
			%
			%
			%
			%
			%
			%
			%
			%
			%
N/A	Breaks (not including lunch)	N/A	%
N/A	Vacation, holidays, and sick leave	N/A	%
N/A	Non-Periodicals Work	N/A	%
	Total		In this box, please write 100% or a total number of hours.

YOUR NAME WILL NOT BE REPORTED TO US IN CONNECTION WITH THIS SURVEY, NOR WILL YOUR LIBRARY KNOW HOW YOU RESPONDED. THANK YOU AGAIN FOR TAKING THE TIME TO HELP US WITH THIS STUDY.

INSTITUTIONAL SURVEY

**Study of the Operating Costs of
Periodicals Collections in Various Formats**

Institutional Survey

A. Instructions

This survey is the institution-level piece of a study on the economics of periodicals in both print and electronic formats. Our goal is to understand how the increasing availability of electronic periodicals will affect the cost of libraries' internal operations.

We ask you to limit, when appropriate, your responses to our specific definition of periodicals. **Periodicals** are defined as serial publications that contain separate articles, stories, other writings, etc., and are published or distributed generally more frequently than annual. Newspapers and monographic serials are not periodicals. Please do your best to limit your responses, when requested, to this definition of periodicals.[44]

Please be certain that whenever data is asked for the "**year**" that the same definition – calendar, fiscal, academic, etc – is used consistently through this survey form, as well as on the Staff Activity Logs.

Sometimes it may be impossible to locate precise figures in answer to certain questions. In that case, we ask that you offer an **estimate** for your response. Please write "estimate" so that we know.

Some of our participating institutions have more than one library on their campus. In that case, please submit data covering **all libraries**. Campus-specific administrative arrangements may make it undesirable or impossible to offer data for all libraries. In that case, please identify the libraries that constitute the basis for this survey and restrict all answers, as well as the Activity Log participation, to that set of libraries. Be sure to identify exactly which libraries are part of this survey in your response to Question B1.

Please be certain to **photocopy** the completed survey and keep a copy for your own records.

Thank you in advance for your participation.

-Eileen Gifford Fenton and Roger Schonfeld

B. Libraries Included in This Study

1. What library or libraries at your institution are being included in this study?

2. What percentage of total institution-wide holdings (i.e., physical volumes or items) are held by the library or libraries included in Question a above?
   _____% of holdings

3. What percentage of total institution-wide periodicals subscriptions are received by the library of libraries included in Question a above? If it is possible to limit electronic subscriptions to these libraries, include both print and electronic. Otherwise, include print only.
   _____% of periodical subscriptions

4. When you provide data for "last year" in this survey, do you mean last fiscal year, calendar year, academic year, or something else? Please define it specifically:

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44 This definition is substantively identical to, and was adapted from, the 006 code for Type of Continuing Resource, which appears in the Online Computer Library Center's *Bibliographic Formats and Standards*, Third Edition, available online at http://www.oclc.org/bibformats/.

C. Periodical Operations
   1. How many periodicals did you receive (including by purchase, gift, or exchange) last year for:
       a. Print only?
           _____ titles (count each title once, even if you have multiple subscriptions)
           _____ subscriptions (including multiple copies of a title)
           _____ total issues received (if available)
       b. Electronic only?
           _____ unique titles
           _____ total titles, including titles duplicated across aggregations
       c. Print and Electronic combined?
           _____ unique titles, if known
           _____ multiple titles from all sources
       d. Microform periodicals? (A title-year is one year of one title, so fifteen years of one title is fifteen title-years, and five years each of three titles is also fifteen title-years.)
           _____ title-years or items (circle one)
       e. If you licensed any electronic back-files of periodicals (such as a new JSTOR collection) in the last year, about how many title-years were included in these new licenses? (A title-year is one year of one title, so fifteen years of one title is fifteen title-years, and five years each of three titles is also fifteen title-years)
           _____ title-years

   2. What was the total number of periodical titles that were routed to faculty, students, and others, in the last year? Routings include issues themselves or tables of contents, including by photocopy or email.
           _____ titles were routed

   3. What are your check-in processes for print periodicals? (Please check all that apply)
       ❑ We check in using our Library Management System
       ❑ We check in using another system (please describe _____)
       ❑ We are able to scan a barcode that appears on many of the periodicals that we receive

   4. What are your cataloging processes for print and electronic periodicals? (Please check all that apply)
       ❑ Our catalog includes print periodicals
       ❑ Our catalog does not include print periodicals
       ❑ Our catalog includes electronic periodicals
       ❑ Our catalog does not include electronic periodicals
       ❑ Our catalog includes only minimal-level records for electronic periodicals
       ❑ Our catalog does not include detailed holdings statements for electronic periodicals
       ❑ We catalog the components of all aggregations, i.e. all the titles from Lexis-Nexis, etc.
       ❑ We use a service to assist us in cataloging or providing holdings information for certain electronic periodicals (please describe _____)
       ❑ We maintain a publicly accessible list (for example, a Web page) of electronic periodicals separate from our catalog
       ❑ We maintain a publicly accessible list (for example, a Web page) of print periodicals separate from our catalog

   5. For cataloging, please provide whatever units of output you track (i.e. items that were copy-cataloged, number of items that required catalog maintenance, etc) for the last year.

6. In the last year, how many licenses were signed, including renewals, covering:
    a. 1-25 periodicals titles: _____ licenses
    b. 26-100 periodicals titles: _____ licenses
    c. 100 or more periodicals titles: _____ licenses

7. How many *new periodical titles* were added to your collections, through your collection development processes, in the last year?
    a. Electronic titles?   _____ titles
    b. Print titles?   _____ titles
    c. Print-electronic combined titles?   _____ titles

8. How many existing periodical titles were cancelled, through your collection development process, in the last year?
    a. Electronic titles?   _____ titles
    b. Print titles?   _____ titles
    c. Print-electronic combined titles?   _____ titles
    d. What factors contributed to the cancellation of these titles?
        ❏ Budgetary: our budget was reduced, or did not keep pace with title price increases
        ❏ Usage: our local usage was insufficient to justify purchase
        ❏ Out of scope: our current collecting profile led us to cancel some previously purchased titles
        ❏ Format: we have cancelled the format but have replaced it with another format
        ❏ Change in pricing model or package
        ❏ Other: please explain: _____

9. How many periodical volumes (or linear feet) were shifted within the same library in the last year?
        _____ volumes or linear feet (circle one)

10. How many periodical volumes (or linear feet) were transferred to remote storage or among libraries within your institution in the last year?
        _____ volumes or linear feet (circle one)

11. How many periodical volumes (or linear feet) were withdrawn from your collection (i.e. de-accessioned, transferred to a different institution, etc) in the last year?
        _____ volumes or linear feet (circle one)

12. Please provide circulation data, or your best estimates, for periodicals only within the following formats in the last year:
    a. Individual current issues?   _____ issues
    b. Backfile volumes or items?   _____ items or volumes (circle one)
    c. Microform items?   _____ items or volumes (circle one)

13. Please provide reshelving figures, or your best estimates, for periodicals only within the following formats in the last year:
    a. Individual current issues?   _____ issues
    b. Backfile volumes or items?   _____ items or volumes (circle one)
    c. Microform items?   _____ items or volumes (circle one)

14. Many libraries provide bibliographic instruction sessions for students, faculty, or staff. How many individuals participated in such sessions related to periodicals in the last year?
    _____ participants

15. How many periodical items were treated by your preservation department in the last year, not including binding/rebinding?
    _____ periodical items

16. What is the scale of your binding activities?
    a. How many volumes of periodicals were bound last year?
       _____ bound volumes
    b. What was the total periodicals binding cost, exclusive of staff time, last year?
       $_____

D. Computing / Systems
    1. This section seeks to understand your total ANNUAL systems costs, exclusive of staff time and workstations, related to your periodical operations. This should include your integrated system, relevant servers, etc. If you can provide this cost broken down by current issues, hardcopy backfiles, microform, and electronic, please do so. If you cannot, please estimate your total annual periodicals-related systems costs (other than staff time).

    2. How many library staff who have received the Activity Log have their own computer workstations?
       _____ staff

    3. What is the approximate annual cost of a staff member computer workstation?
       $_____ per computer workstation

    4. How many computer workstations that can access full-text of electronic periodicals are accessible to users in the library?
       _____ computer workstations

E. Miscellaneous Costs
    What is the approximate annual cost of other resources used for periodical processing and storage?
       Couriers $_____
       Subscription agents $_____

F. Space Allocation
This part of the survey deals with allocation of space to periodicals-related shelving and reading. There are five basic types of shelving and storage used by university libraries that we would like you to report: current periodicals room, traditional stacks of bound copies in the library, compact shelving in the library, off-site storage, and microform storage. For each of these five shelving categories, we ask questions that are designed to determine the associated cost.

Many of these questions are fairly straightforward, involving square or linear footage and annual costs of shelving, but one type of question is somewhat more complex. We ask you to provide the "current cost"

of the space itself. This is an annualized figure that is related to the construction cost of the building. If the "current cost" of the space is not a figure that you know, please be aware that institutional budget offices will often be able to provide it.

Some institutions will have multiple shelving facilities of each type—more than one current periodical room, more than one remote storage location, or periodicals shelving in more than one library. If so, please attach additional sheets containing all the relevant information for each.

1. Current Periodicals Room(s)
   a. Do you have a current periodicals room?
      ❏   Yes
      ❏   No - Go to Question F2 below
   b. How long do you normally maintain issues of periodicals on these shelves?
      _____ months or years (circle one)
   c. About how much space is occupied by current periodicals? For square feet, include aisles and immediate surrounding space.
      _____ square feet or linear feet (circle one)
   d. Excluding shelving, about how much space is allocated to the reading room(s)?
      _____ square feet
   e. What is the "current cost" of this space?
      $_____ per square foot
   f. What is the approximate annual amount expended on new or replacement shelves for current periodicals?
      $_____ per year
      Is this a depreciated amount?
      ❏   Yes
      ❏   No

2. Traditional Stacks in the Library
   a. About how much space do periodicals occupy in traditional stacks in the library? For square feet, include aisles and immediate surrounding space.
      _____ square feet or linear feet (circle one)
   b. What is the "current cost" of this space?
      $_____ per square foot
   c. What is the approximate annual amount expended on new or replacement shelves for periodicals in traditional stack area?
      $_____ per year
      Is this a depreciated amount?
      ❏   Yes
      ❏   No

3. Compact Shelving in the Library
   a. Does your library shelve any periodicals in compact shelving?
      ❏   Yes
      ❏   No - Go to Question F4 below
   b. About how much space do periodicals occupy in the compact storage area? For square feet, include aisles and immediate surrounding space.
      _____ square feet or linear feet (circle one)
   c. What is the "current cost" of this space?
      $_____ per square foot

    d.   What is the approximate annual amount expended on new or replacement compact shelving for periodicals?

       $_____ per year

       Is this a depreciated amount?

       ❏   Yes

       ❏   No

4.   Remote Storage

    a.   Does your library shelve periodicals in remote locations?

       ❏   Yes

       ❏   No - Go to Question F5 below

    b.   About how much space do periodicals occupy in remote storage? For square feet, include aisles and immediate surrounding space.

       _____ square feet or linear feet (circle one)

    c.   What is the "current cost" of this space?

       $_____ per square foot

    d.   What is the approximate annual amount expended on new or replacement shelving for periodicals in your remote facility?

       $_____ per year

       Is this a depreciated amount?

       ❏   Yes

       ❏   No

5.   Microform

    a.   Does your library maintain periodicals in the microform format?

       ❏   Yes

       ❏   No - Go to Question G below.

    b.   What is the size of your periodical microform collection? For square feet, include aisles and immediate surrounding space.

       _____ items or square feet or linear feet (circle one)

    c.   What is the "current cost" of the space occupied by your periodical microform collection?

       $_____ per square foot

    d.   What is the approximate annual amount expended on new or replacement cabinets to house your microform periodical items?

       $_____ per year

       Is this a depreciated amount?

       ❏   Yes

       ❏   No

G. Institutional Policies

    1. Does your university have a standard fringe benefit rate for exempt and non-exempt staff? By fringe benefits we include FICA, Medicare, Pension, Insurance, etc.

      ❏ Yes

      ❏ No

      If yes, what is that rate for:

         Exempt staff   _____%

         Non-exempt staff _____%

      If no, a copy of the university fringe benefit description would be helpful to determine full compensation to staff.

2. Does your library have a set overhead rate for central administration services?
    ❏ Yes
    ❏ No
    If yes, what is that rate?
        _____% of direct costs

3. Does your library or university apply a standard depreciation formula (e.g., linear, double declining, etc.) for various expenditures?
    ❏ Yes
    ❏ No
    If yes, what is that formula, including the length of time, for:
        Computer Equipment _____
        Shelving   _____
        Other   _____

4. Generally, what is your policy concerning user photocopying and electronic print (e.g., free to some users, coin-operated machines, card access, etc.)? Also, specify whether the service is contracted out or operated entirely by the library.

You have reached the end of the institutional survey. Thank you again for your participation.