Instructions and Definitions: FY2015

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Introduction

Count what you do and show preservation counts! The [Preservation Statistics Survey](#) is an effort coordinated by the Preservation and Reformatting Section (PARS) of the American Library Association (ALA) and the Association of Library Collections and Technical Services (ALCTS).

Any library or archives in the United States conducting preservation activities may complete this survey, which will be open from Tuesday, January 19, 2016 through an extended deadline of Friday, March 18, 2016.

Questions focus on **production-based** preservation activities for fiscal year 2015, documenting your institution's conservation treatment, general preservation activities, preservation reformatting and digitization, and digital preservation and digital asset management activities.

The goal of this survey is to document the state of preservation activities in this digital era via quantitative data that facilitates peer comparison and tracking changes in the preservation and conservation fields over time.

Background

This survey is based on the Preservation Statistics survey program by the Association of Research Libraries (ARL) from 1984 to 2008. When the ARL Preservation Statistics program was discontinued in 2008, the Preservation and Reformatting Section of ALA / ALCTS, realizing the value of sharing preservation statistics, worked towards developing an improved and sustainable preservation statistics survey.

An initial pilot survey was issued in 2012 and subsequent surveys in 2013 and 2014. Previous Preservation Statistics Survey data sets and reports are available at:
http://www.ala.org/alcts/resources/preservation/presstats

The FY2015 survey focuses on production statistics such as number of conservation treatments performed, the number of items reformatted, and the number of digital items preserved. In an effort to strike a balance between data that is easy for institutions to gather and data that is useful to the preservation community, questions about administration, staffing, and most general preservation activities were omitted from last year's FY2014 Survey. Those issues will be revisited in a supplementary survey in the future (likely FY2017).

In 2014, the Preservation Statistics project received an ALCTS Presidential Citation in recognition for its contribution to the preservation profession.   For more information about the history of the ARL and ALA Preservation Statistics programs, read our 2016 paper [“Do You Count? The Revitalization of a National Preservation Statistics Program”](#) in *Library Resources and Technical Services* V. 60, Issue 1.

What's New for the FY2015 Survey

New this year: to facilitate data analysis, the survey tool will allow only numerical responses to questions that ask for a quantitative response (“How many x …?”). All footnotes should be entered into the Notes section on each page.

Also new this year: Institutions that track a preservation activity by material format (i.e., book, unbound sheets, photographic materials, etc.) should enter data for each format then TOTAL the sum for all formats. For example, when asked how many items received Level 1 conservation treatment, institutions that track

conservation treatments by format should enter data for books, unbound sheets, photographic materials, etc. then enter the sum of all Level 1 conservation treatment in the TOTAL field. In the past, institutions might enter data for each format, then a number in the TOTAL field that was not the sum of the activity. Institutions that do not track a preservation activity by format should continue entering data into the TOTAL field.

The data collected by the Preservation Statistics Survey is most meaningful if a representative number of libraries and archives consistently share their annual statistics. Given the effort required to manage this project and perform analysis that informs our field about current issues and ongoing trends, a goal of seventy-five respondents has been set in order for the Preservation Statistics Survey project to continue and for the FY2016 Survey to be conducted.

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Preview the Survey Questionnaire (.pdf) and use this Instructions and Definitions document (.pdf) to guide your responses. If helpful, use the Excel spreadsheet to track and calculate your data. Finally, visit the FY2015 Preservation Statistics Survey on SurveyMonkey to enter your responses: https://www.surveymonkey.com/r/preservationstatisticsFY15

Please send any questions or comments to survey coordinators Holly Robertson, Annie Peterson, and Nick Szydlowski at preservationstatistics@gmail.com.

For additional news and updates on the survey like Preservation Statistics on Facebook at www.facebook.com/preservationstatistics

FAQ

What is the scope of the survey?

The FY2015 Preservation Statistics Survey requests data about:

1. Conservation treatment

2. Conservation assessment, digitization preparation, and exhibit preparation

3. General preservation activities

4. Reformatting and digitization

5. Digital preservation and digital asset management

Who may participate in the survey?

Any library or archives in the United States that conducts preservation activities may participate.

If you are a smaller entity within a larger organization (for example: a law or health sciences library or a specialized archives within a larger university system), we encourage you to report separately to facilitate peer comparison to similar organizations

Why should you participate?

Your participation facilitates the documentation and analysis of current library and archive preservation programs in the United States. This data is helpful in understanding the ever-evolving scope of preservation programs and the activities employed to preserve long-term access to library collections. Many institutions use this data to evaluate their preservation programming support and activities in the context of peer institutions, to promote long-term preservation planning, and to raise institutional awareness about collections care needs.

What date range of activities should be reported? What is FY2015?

Report preservation activities from Fiscal Year 2015 (FY2015). FY2015 is whatever period of time your institution defines as a fiscal year: if that's from October to September, July to June, or by calendar year (January to December), that's fine. You're reporting a year's worth of activities.

How long will the survey take to complete? How many questions are included?

Short answer: it depends.

If you participated previous Preservation Statistics Surveys, you will be familiar with all of the survey questions. Like the FY2014 survey, the FY2015 survey is designed to take significantly less time than the previous versions of the survey.

If your institution was a member of the Association of Research Libraries (ARL) and participated in their discontinued Preservation Survey program, you will recognize many questions, with a few additions to reflect interest in capturing general preservation programming, preservation reformatting and digitization, and digital preservation data.

Many institutions will have this data on file for internal planning or reporting purposes. Others will not have statistics recorded for each activity, while others will simply not conduct every activity covered by this questionnaire.

Can I start the survey online, save my responses, and return to it later?

Don't rely on it. Depending on your browser setup, SurveyMonkey may install a cookie that will allow you

(if you return to the survey using the same computer and same browser, and if your browser does not dump cookies when you close a session) to re-open the survey.

Rather, we recommend that you first download the survey questionnaire to collect data: http://www.ala.org/alcts/sites/ala.org.alcts/files/content/resources/preserv/presstats/FY2015/FY2015-PresStats-preview-ques.pdf

And then visit the SurveyMonkey site when you are ready to input your data: https://www.surveymonkey.com/s/preservationstatisticsFY15

May I enter footnotes into the survey?

Yes: if you need to further clarify or explain any responses, at the end of each section there is a question with a textbox that allows you to enter any additional information. These notes will be published with the rest of the survey data.

How will the responses be used?
Individual responses will be shared so that libraries might examine their activities, planning, and needs in the context of their peers and so that preservation activities are documented for scholarship and study. Results data will be published online (much in the same way ARL made its Preservation Survey data available[1]) as a spreadsheet made available via a Creative Commons Attribution-ShareAlike license. Aggregate data may be used in infographics, presentations, and other analysis**.**

The reports for the pilot FY2012 and 2013 Preservation Statistics Surveys are available at http://www.ala.org/alcts/resources/preservation/presstats

Who sponsors this survey?
This survey is an all-volunteer initiative of the Preservation Standards and Practices Committee of the Preservation and Reformatting Section (PARS) of the Association of Library Collections and Technical Services (ALCTS) of the American Library Association (ALA). If you have any questions about this survey, contact preservation coordinators Annie Peterson and Holly Robertson at preservationstatistics@gmail.com.

When will the results be posted?
The FY2015 Preservation Statistics Survey will be open from mid January through early March 2016. Results and data should be posted in time for the American Library Association annual meeting in late June 2016.

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[1] http://old.arl.org/stats/annualsurveys/pres/

General Instructions

Please respond to every question.

New this year: to facilitate data analysis, the survey tool will allow only numerical responses to questions that ask for a quantitative response ("How many x …?"). All footnotes should be entered into the Notes section on each page.

Also new this year: Institutions that track a preservation activity by material format (i.e., book, unbound sheets, photographic materials, etc.) should enter data for each format then TOTAL the sum for all formats. For example, when asked how many items received Level 1 conservation treatment, institutions that track conservation treatments by format should enter data for books, unbound sheets, photographic materials, etc. then enter the sum of all Level 1 conservation treatment in the TOTAL field. In the past, institutions might enter data for each format, then a number in the TOTAL field that was not the sum of the activity. Institutions that do not track a preservation activity by format should continue entering data into the TOTAL field.

Some questions in the FY2015 survey are marked as optional. These questions cover emerging preservation activities that may not be conducted in small-to-mid-sized institutions. Nonetheless, your responses to these questions provide valuable information about the evolving role of preservation in cultural heritage programs, so if your institution tracks it, please share it.

If the appropriate answer is zero or none, use **0** (i.e., this activity is conducted by your institution but was not conducted this year). If you don't know, don't track it, or don't do it, skip the question.

Note that the numbering for the questions in this Instructions and Definitions document may not match the numbering that you see in the online SurveyMonkey questionnaire. The skip logic employed in the online survey facilitates navigation but renumbers questions if they're skipped, thus causing the difference in question numbers.

Responses are required to each question on this page. This is the only page that has required responses.

Questions 1-5:
Please enter your institution name and city / state information as well as the name, title, and email address of the contact person completing this survey.

6. **For the purpose of comparing you with your peers, which of the following categories most closely describes your institution?**

   Academic libraries serve colleges and universities, their students, staff, and faculty.

   Archives are organizations that collect the records of individuals, families, or other organizations. (Society of American Archivists)

   Independent research libraries serve scholarly researchers, and typically collect primary and secondary sources in a specific field or discipline. Examples include the Folger Shakespeare Library, Morgan Library and Museum, etc.

National libraries are established by the government of a country and have special responsibilities, often defined in law, within a nation's library and information system. Examples include the Library of Congress, the National Library of Medicine, and the National Agricultural Library.

Public libraries serve the general public of a community, district, or region, and are typically supported in whole or in part with public funds.

Special libraries include libraries and information centers of corporations, private companies, government agencies, not-for-profit organizations, technical institutions, museums, law firms, medical facilities, etc. Special libraries can serve particular populations, such as the blind and physically handicapped, while others are dedicated to special collections, such as a presidential library.

State libraries typically serve employees and citizens of the state in which they are located, and are supported through state funds. Joint state libraries and archives may participate in this survey.

Enter "*other*" for all other types of libraries and cultural heritage institutions (please specify what type of library or institution).

7. **Total institutional operating expenditures for FY2015**

   Total institutional operating expenditures reflect expenditures for all staff, purchase and maintenance of collections, operation and maintenance of buildings, and any contract or fee expenses. This information will be used to control for the size of the group of responding institutions when analyzing data over time. ARL libraries may use the figure reported on question 6 of the ARL Statistics questionnaire.

   This question is important for analyzing the data and tracking trends over time. The respondent pool for the survey changes year to year, depending on which institutions choose to complete the survey, so comparing based upon total institutional operating expenditures is a meaningful way to analyze the data over time. Institutions that do not answer this question cannot be included in year-to-year comparisons of survey results.

Section 1: Conservation Treatment

Questions 8-19

In this section, the number of questions you complete will depend on whether your institution uses contract conservation services for treatment and custom enclosures, and if those activities are also conducted in-house, and whether your institution tracks conservation treatment by format (e.g., 50 bound volumes, 600 photographs) or by format AND treatment time (e.g., 15 bound volumes at Level I treatment, 13 photographs at Level III treatment). You will also be asked to break out the number of items treated for digitization prep and exhibit prep, as well as the number of items surveyed or assessed.

If your institution records treatments by format AND time, use the following time increments:

Level 1 conservation treatments require 15 minutes or less to perform.

Level 2 treatments require more than l5 minutes but less than two hours to perform.

Level 3 conservation treatments require two hours or more to perform.

Record the number of items given conservation treatment, not the total number of treatments performed. For example, when an errata sheet is tipped into a volume and three pages are repaired, these procedures take a total of 25 minutes to perform; the volume as an item should be recorded only once, as a Level 2 treatment. While any given item may receive several treatments, it should be recorded only once, as a Level 1, 2, or 3 treatment depending on the amount of time devoted to the item.

When an item receives conservation treatment and a box is made for it, the conservation should be recorded as a Level 1, 2, or 3 treatment and the boxing should be recorded as a custom-fitted protective enclosure. Likewise, when two pages of a book are repaired and the book is sent to a to a digitization vendor, the volume should be recorded as a Level 1 conservation treatment and as a book digitization in Section 5: Digitization and Reformatting.

Because the nature of procedures and the level of in-house conservation expertise vary significantly across institutions, treatments are recorded based on the length of time they require, time being a meaningful and comparable measure of effort. Use of methods and materials that comply with the American Institute for Conservation of Historic and Artistic Works (AIC) Code of Ethics and Guidelines for Practice is presumed.

Categories for materials:

Books and Bound Volumes: includes paperback and hardback books, bound or unbound serials, scrapbooks, newspapers, albums, pamphlets, etc.

Unbound Sheets: includes manuscripts, documents, maps, architectural drawings, posters, etc.

Photographic materials: includes photo prints (from daguerreotype, tintype, and albumen prints to gelatin developing out paper prints, etc.), negatives (on glass, gelatin, or plastic – including slides) as well as inkjet and laser prints.

Moving Image Recordings: includes films, videotapes, DVDs, digital video formats, etc.

Sound Recordings: includes cylinders, discs, tapes, CD, digital audio formats, etc.

Art Objects: includes paintings, works of art on paper, sculptures, prints, etc.

Historic and Ethnographic Objects: artifacts that document human life and traditions, typically assembled by an anthropologist, folklorist, ethnomusicologist, or other cultural researcher.

Other

Custom-fitted enclosures are distinguished from the commercially available boxes and other enclosures in that the former are custom-made to fit their contents and the latter are standard-sized enclosures available through supply catalogs. Custom-fitted enclosures include paper and polyester book jackets, paper and board wrappers, portfolios, phase boxes, double-tray boxes, and other boxes. Per the longstanding definition established by ARL, polyester encapsulation of single sheets should be reported as a conservation treatment to an unbound sheet —not as a custom fitted protective enclosure. Use of archival quality methods and materials is presumed.

Section 2: Conservation Assessment, Digitization Preparation, Exhibit Preparation

Questions 20-23: Assessment, Digitization Prep, & Exhibition Prep

The questions in this section are optional. These questions cover emerging preservation activities that may not be conducted in all institutions. Nonetheless, your responses to these questions provide valuable information about the evolving role of preservation in cultural heritage programs, so if your institution tracks it, please share it.

Digitization and exhibition are increasingly driving factors in prioritizing items or collections for conservation. In this section, you will be asked to detail the number of items conserved in preparation for digitization or exhibition in FY2015. The data for these activities were included in the conservation treatment statistics you reported on previous pages.

Collection materials are frequently examined for condition and evaluated for treatment in collection condition surveys and item-level assessments, or in sorting materials for library binding, treatment, replacement, and/or digitization and reformatting workflows. The *number of items surveyed for condition or assessed for conservation* should include only the number of items physically examined for condition. If a statistical survey that looks at a sampling of material from a collection (i.e., 100 books from a 10,000 book collection) is performed, include only the number of items sampled or physically assessed.

The preparation of materials for digitization (*digitization prep*) refers to conservation activities to physically stabilize or ready collection items for digitization. These activities may include removing staples, humidifying and flattening pages, securing loose materials in scrapbooks or photo albums, repairing torn pages, surface cleaning, etc.

The preparation of materials for exhibition (*exhibition prep*) involves similar conservation activities to digitization prep – physically stabilizing or readying collection items for display in an exhibit. These activities may involve efforts to remediate the aesthetics of an item as well as treatments to improve stability and ease of display (e.g., humidifying and flattening pages, mending tears in pages or paintings, inpainting, surface cleaning, etc.). Preparation for exhibition includes construction of custom cradles or mounts for physically supporting an item while it is on display.

Section 3: General Preservation Activities

24. Commercial / Library Binding:
Commercial / Library binding refers to the binding, rebinding, and recasing performed by commercial library binderies as described in the [Library Binding Institute Standard for Library Binding (ANSI/NISO/LBI Z39.78-2000)](#).

A *monograph* is a non-serial publication complete in one volume (book) or a finite number of volumes.

A *serial* (magazine, journal, newspaper, etc.) is a continuing resource issued in a succession of discrete parts, usually bearing numbering, that has no predetermined conclusion.

If your institution does not track commercial library binding by monograph and serial, enter the total number of volumes bound.

25. Mass Deacidification:

Mass deacidification refers to the process by which books and papers are treated to neutralize acidity and to introduce an alkaline buffer. Materials are deacidified in batches, in chambers that hold several (or many) items. Item-by-item deacidification of bound volumes and papers, performed by conservators and technicians, should be recorded Section 1: Conservation Treatment.

26. Notes on Preservation Activities

Enter any notes related to data entered in Section 3: Preservation Activities.

Section 4: Reformatting and Digitization

In this section, the number of questions you complete will depend on whether your institution uses contract services and/or in-house operations for reformatting and digitization.

27. Does your institution outsource reformatting and/or digitization to contract vendors?

Yes, proceed to reformatting and digitization: contract (questions 44-49).

No, skip to reformatting and digitization: in-house (questions 50-56)

Questions 28-33: Contract Reformatting and Digitization

28. How many of the following formats (books / bound volumes, unbound sheets, photographic materials, other formats) were microfilmed *by a contract vendor* in FY2015?

Presumes adherence to relevant American National Standards Institute (ANSI) and Association for Information and Image Management (AIIM) standards as well as microfilming guidelines published by the Research Libraries Group and National Library of Canada. Include only entire items microfilmed – i.e., do not count the microfilming of a single page of a newspaper or volume.

29. How many of the following formats (books / bound volumes, unbound sheets, photographic materials, other formats) were reformatted to a new analog format (e.g. books preservation photocopied, new photographic negatives made from photographic prints; film to film duplication) *by a contract vendor* in FY2015?

Include only entire items reformatted to a new analog format– i.e., do not count the photocopying of a single page of a newspaper or volume. Analog reformatting includes the creation of preservation photocopies or facsimiles of brittle or damaged books, the creation of new photographic negatives or prints from original photographic collection materials, film-to-film duplication, the migration of moving image recordings to Betacam SP, etc.

Refer to Section 4: Conservation Treatment for definitions of the collection formats (i.e., Books / Bound Volumes, Unbound Sheets, etc.).

Preservation photocopying is the duplication of paper-based items (books, unbound papers, photographic materials) in adherence to standards for permanence and durability in order to provide an access or surrogate item for use in lieu of and in conjunction with the original, fragile item. Applicable standards are ANSI Z39.48 -- Permanence of Paper for Printed Library Materials; ASTM D3290 -- Bond and Ledger Paper for Permanent Records; ASTM D3458 – Standard Specification for Copies from Office Copying Machines for Permanent Records.

30. **How many of the following collection formats (books / bound volumes, unbound sheets, photographic materials, art objects, historic and ethnographic objects, other) were digitized *by a contract vendor* in FY2015?**

    Record the total number of items that were digitized—not the total number of versions of these items that were created. Include only entire items digitized – i.e., do not count the digitization of a single page of a newspaper or volume.

    Refer to Section 4: Conservation Treatment for definitions of the collection formats (i.e., Books / Bound Volumes, Unbound Sheets, etc.).

31. **How many of the following sound recording formats were digitized *by a contract vendor* in FY2015?**

    Record the total number of items that were digitized—not the total number of versions of these items that were created. Include only entire items digitized – i.e., do not count the digitization of a single song from one side of a vinyl record.

32. **How many of the following moving image formats (film, magnetic media, digital tape, optical media, other) were digitized *by a contract vendor* in FY2015?**

    Record the total number of items that were digitized—not the total number of versions of these items that were created. Include only entire items digitized – i.e., do not count the digitization of a short clip from a longer film.

33. **Notes on reformatting and digitization: contract**

    Enter any notes related to the data entered in Section 5: Reformatting and Digitization: contract.

Questions 34-40: In-House Reformatting and Digitization:

34. Does your institution reformat and/or digitize materials in-house?

Yes, proceed to reformatting and digitization: in-house

No, skip to Section 5: Digital Preservation and Digital Asset Management

35. How many of the following formats (books / bound volumes, unbound sheets, photographic materials, other formats) were microfilmed *in-house* in FY2015?

See question 28, above.

36. How many of the following formats (books / bound volumes, unbound sheets, photographic materials, other formats) were reformatted to a new analog format (e.g. books preservation photocopied, new photographic negatives made from photographic prints; film to film duplication) *in-house* in FY2015?

See question 29, above.

37. How many of the following collection formats (books / bound volumes, unbound sheets, photographic materials, art objects, historic and ethnographic objects, other) were digitized *in-house* in FY2015?

See question 30, above.

38. How many of the following sound recording formats were digitized *in-house* in FY2015?

See question 31, above.

39. How many of the following moving image formats (film, magnetic media, digital tape, optical media, other) were digitized *in-house* in FY2015?

See question 32, above.

40. Notes on reformatting and digitization: in-house

Enter any notes related to the data entered in Section 5: Reformatting and Digitization: in-house.

Section 5: Digital Preservation and Digital Asset Management

41. Are digital preservation activities a responsibility of the preservation department at your institution?

Digital preservation combines policies, strategies and actions to ensure access to reformatted and born digital content regardless of the challenges of media failure and technological change. The goal of digital preservation is the accurate rendering of authenticated content over time. (American Library Association ALCTS Preservation and Reformatting Section)

If your institution does have a digital preservation program, but it is outside of the preservation unit, you are encouraged to partner with that unit to respond to Section 6. If your institution does have a digital repository, but it is not defined as a digital *preservation* repository, you are also encouraged to answer questions in Section 6.

42. How many digital files were reformatted from one file format to another for the purpose of preservation? (i.e., Word Perfect to PDF/A, MP3 to WAV)

Reformatting a digital object means that it was altered from its original file format into a new format for long-term preservation. For instance, a digital object may be accessioned by archivist as a Microsoft Word document, but converted to a PDF/A for preservation.

43. How much unique (i.e., not including redundant/backup copies) digital content (in GB) is your institution currently managing?

Enter the total digital content currently managed in your digital repository, not just the content added during FY2015. Do not include redundant or backup copies. Enter your answer in GB.

44. How many items in the following categories were added to the digital repository during FY2015:

Enter the number of unique items in each format category. Do not include redundant / backup copies.

Books and Bound Volumes: includes paperback and hardback books, bound or unbound serials, scrapbooks, newspapers, albums, pamphlets, etc.

Manuscripts: an unpublished document, including handwritten or typewritten documents, musical notations, drawings

Theses / dissertations: a long essay or dissertation involving personal research, written by a candidate for a college degree.

Other textual documents – reports or documents – typically published

Audio – sound recordings

Video – moving image recordings

Web Archives – data that has been released on the World Wide Web

Emails: electronic mail

Data sets: data in a collection of closely related tables corresponding to a particular experiment, publication, or event

Other

45. Notes on Digital Preservation and Digital Asset Management

Enter any notes related to the data entered in Section 5: Digital Preservation and Digital Asset Management.