

Information and documentation — Performance indicators for national libraries

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National foreword

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ISO copyright office
Case postale 56 • CH-1211 Geneva 20
Tel. + 41 22 749 01 11
Fax + 41 22 749 09 47
E-mail copyright@iso.org
Web www.iso.org

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

In exceptional circumstances, when a technical committee has collected data of a different kind from that which is normally published as an International Standard ("state of the art", for example), it may decide by a simple majority vote of its participating members to publish a Technical Report. A Technical Report is entirely informative in nature and does not have to be reviewed until the data it provides are considered to be no longer valid or useful.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO/TR 28118 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 8, *Quality — Statistics and performance evaluation*.

Introduction

This Technical Report is concerned with the evaluation of the performance of national libraries.

For several years, national libraries have felt the need to get consensus on a common list of relevant performance indicators for assessing the quality and performance of their services. Several groups, e.g. within the IFLA Section of National Libraries and CENL (Conference of European National Libraries), have tried to assess the present use of performance measurement in national libraries and discussed possible performance indicators, preferably using performance indicators in existing handbooks and standards.

The second edition of ISO 11620 (see Reference [5] in the Bibliography) establishes a list of performance indicators for libraries that include performance indicators for electronic library services. ISO 11620 aims at comprising performance indicators for all types of libraries, but does not cover all tasks and services of every type of library. This Technical Report establishes the list of performance indicators that are relevant to the special tasks and services of national libraries.

National libraries have important tasks that differ from those of other libraries, such as the collection and preservation of the national documentary heritage, the publication of a national bibliography and a leading role in international cooperation. Therefore, it is important that performance indicators for national libraries consider topics such as

- the coverage of the national imprint (print and electronic),
- the speed and comprehensiveness of the national bibliography,
- the effort for preserving the national documentary heritage, and
- the international engagement of the library.

National libraries are unique institutions in their countries, and their data are not easily comparable. The main problems for measuring performance in national libraries are the following.

- a) National libraries can have several functions (e.g. university and national library, parliamentary and national library).
- b) There can be more than one national library in one country.
- c) National libraries have no specified clientele or primary user group like public or university libraries. Therefore, output data cannot be set in comparison to “members of the population”.
- d) Mission, tasks and functions of national libraries can differ between countries.

This Technical Report selects performance indicators from ISO 11620 that are appropriate to the tasks of national libraries or can be adapted to such tasks. Additionally, it presents new performance indicators that have been used or tested by a national library and that cover the topics not considered in ISO 11620.

This Technical Report provides standardized terminology and definitions for data to be used in the performance indicators. Furthermore, this Technical Report contains concise descriptions of the performance indicators, of the collection and the analysis of data needed, and of examples where the performance indicators have been used.

Annex B describes all efforts of assessing the quality and performance of an institution by starting with the statement of the general mission and tasks established for their national library.

Some national libraries have started creating collections based on national elements found on the Internet. As it is too early to describe performance indicators for this activity, a short overview of methods and quality issues is given in Annex C.

Texts in this Technical Report are partly based on ISO 11620.

Throughout this Technical Report, the names of performance indicators are printed with the first letter of significant words capitalized, e.g. Percentage of the Collection in Stable Condition. This helps to distinguish these names from supporting text.

Information and documentation — Performance indicators for national libraries

1 Scope

This Technical Report establishes the performance indicators for national libraries. It is also applicable to libraries with regional tasks and without a defined population to be served, as many of their evaluation problems correspond to those of national libraries.

The performance indicators are of special interest for comparison over time within the same library. Comparisons between libraries are possible, if differences in the tasks and constituencies of the libraries are taken into account.

This Technical Report does not include performance indicators for evaluating the outcomes or impact of library services either on individuals, on the communities that libraries serve, or on society at this time. Since this is an evolving area of performance measurement for libraries, such performance indicators can be added at a later date.

This Technical Report is not intended to exclude the use of any performance indicators which have not been specified herein.

2 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

2.1

accessibility

ease of reaching and using a service or facility

[ISO 11620:2008, definition 2.1]

2.2

active user

registered user who has visited or made use of library facilities or services during the reporting period

NOTE This can include the use of electronic library services within or outside the library.

[ISO 2789:2006, definition 3.3.2]

2.3

book

non-serial printed document in codex form

[ISO 2789:2006, definition 3.2.5]

2.4

capital expenditure

expenditure which results in the acquisition of, or addition to, fixed assets

NOTE 1 This includes expenditure on building sites, new buildings and extensions, furnishings and equipment for new and expanded buildings, computer systems (hardware and software), etc. When applicable, local and national sales/purchase taxes [e.g. Value Added Tax (VAT)] are included.

NOTE 2 Adapted from ISO 2789:2006, definition 3.5.1.

2.5

closed stacks

stacks normally not accessible to users

2.6

conservation

intervention techniques applied to prevent, arrest or delay deterioration

[ISO 5127:2001, definition 6.1.03]

2.7

content downloaded

content unit that is successfully requested from a database, electronic serial or digital document

[ISO 2789:2006, definition 3.3.3]

2.8

content unit

computer-processed uniquely identifiable textual or audiovisual piece of published work that may be original or a digest of other published work

NOTE 1 Adapted from the definition of “item” in COUNTER code of practice, Release 2:2004.

NOTE 2 Descriptive records are excluded.

NOTE 3 PDF, Postscript, HTML and other formats of the same content unit will be counted as separate items.

[ISO 2789:2006, definition 3.2.9]

2.9

cultural event

event with cultural, literary, educational, or scholarly intent, e.g. exhibitions, author visits, literary discussions, workshops, etc.

NOTE 1 Only events arranged by the library are included. Events inside the library premises organized by institutions outside the library are excluded.

NOTE 2 User training lessons organized by the library are excluded.

2.10

database

collection of electronically stored descriptive records or content units (including facts, full texts, pictures, and sound) with a common user interface and software for the retrieval and manipulation of the data

NOTE 1 The units or records are usually collected with a particular intent and are related to a defined topic. A database can be issued on CD-ROM, diskette, or other direct-access method, or as a computer file accessed via dial-up methods or via the Internet.

NOTE 2 Licensed databases are counted separately even if access to several licensed database products is effected through the same interface.

NOTE 3 A common interface providing access to a packet of serials or digital documents, usually offered by a publisher or vendor, is also to be counted as database. Additionally, the single serials or digital documents should be counted as serials or digital documents.

[ISO 2789:2006, definition 3.2.10]

2.11

digital document

information unit with a defined content that has been digitized by the library or acquired in digital form as part of the library collection

NOTE 1 This includes eBooks, electronic patents, networked audiovisual documents and other digital documents, e.g. reports, cartographic and music documents, preprints, etc. Databases and electronic serials are excluded.

NOTE 2 Items incorporated in databases are excluded.

NOTE 3 A digital document can be structured into one or more files.

NOTE 4 A digital document consists of one or more content units.

NOTE 5 Adapted from ISO 2789:2006, definition 3.2.12.

2.12

document

recorded information or material object, which can be treated as a unit in a documentation process

[ISO 5127:2001, definition 1.2.02]

NOTE Documents can differ in their physical form and characteristics.

2.13

document processing

everything done to a document after it is acquired by a library, before it is placed on the shelves or, in the case of an electronic document, on the server, including acquisition, descriptive cataloguing, subject indexing, if applicable binding, physical processing, and shelving

2.14

document retrieval

process of recovering specific documents from a store

[ISO 5127:2001, definition 1.2.06]

2.15

download

successful request of a descriptive record or content unit, e.g. for displaying, printing, saving, or emailing

NOTE For web server logs, successful requests are those with specific return codes, as defined by NCSA (National Center for Supercomputing Applications).

[ISO 2789:2006, definition 3.3.4]

2.16

effectiveness

measure of the degree to which given objectives are achieved

NOTE An activity is effective if it maximizes the results it was established to produce.

[ISO 11620:2008, definition 2.14]

2.17

efficiency

measure of the utilization of resources to realize a given objective

NOTE An activity is efficient if it minimizes the use of resources, or produces better performance with the same resources.

[ISO 11620:2008, definition 2.15]

2.18

electronic resource

all resources in electronic form in the library collection

NOTE 1 See also ISO 2789:2006, A.2.3.

NOTE 2 Electronic resources include databases, electronic serials, digital documents, and computer files. Free Internet resources which have been catalogued by the library in its online catalogue or a database are excluded.

2.19

electronic service

electronic library service, which is either supplied from local servers or accessible via networks

NOTE Electronic library services include the online catalogue, the library website, the electronic collection, electronic document delivery (mediated), electronic reference service, user training on electronic services and Internet access offered via the library.

[ISO 2789:2006, definition 3.3.6]

2.20

evaluation

process of estimating the effectiveness, efficiency, utility and relevance of a service or facility

[ISO 11620:2008, definition 2.17]

2.21

full-time equivalent

FTE

a measurement equal to one staff member working a full-time work schedule for one year

EXAMPLE If out of three persons employed as librarians, one works quarter-time, one works half-time, and one works full-time, then the FTE of these three persons would be $0,25 + 0,5 + 1,0 = 1,75$ librarians (FTE).

NOTE Not all libraries may use the same number of hours per year to determine an FTE. Thus, any comparative measures between libraries may need to consider any differences in hours.

[ISO 11620:2008, definition 2.21]

2.22

goal

desired state of affairs to be achieved by the implementation of agreed policies

[ISO 11620:2008, definition 2.22]

2.23

home page

page which serves as the visual unit that is displayed when accessing the library's website

NOTE 1 The home page may appear after the redirection through an entry page.

NOTE 2 See ISO 2789:2006, A.5.3.4.

2.24

income generated

income generated by library operations and from fees, charges, subscriptions and donations that is available to the library for expenditure

NOTE See ISO 2789:2006, 6.5.3.

2.25

indicator

expression (which may be numeric, symbolic or verbal) used to characterize activities (events, objects, persons) both in quantitative and qualitative terms in order to assess the value of the activities characterized, and the associated method

NOTE Adapted from ISO 11620:2008, definition 2.23.

2.26

information request

reference enquiry

information contact that involves the knowledge or use of one or more information sources (such as printed and non-printed materials, machine-readable databases, the library's own and other institutions' catalogues) by library staff

NOTE 1 Adapted from ANSI/NISO Z39.7-2004.

NOTE 2 The information request can also involve recommendations, interpretation, or instruction in the use of such sources.

NOTE 3 One information request may address several questions.

NOTE 4 The request can be delivered personally or by means of telephone, regular mail, fax or electronic media (via email, the library website or other networked communications mechanisms).

NOTE 5 It is essential that libraries do not include directional and administrative enquiries, e.g. for locating staff or facilities, regarding opening times or about handling equipment such as reader printers or computer terminals.

NOTE 6 Enquiries are also excluded, if asked for the purpose of locating items of stock that have already been identified bibliographically.

NOTE 7 Adapted from ISO 2789:2006, definition 3.3.9.

2.27

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.

[ISO 2789:2006, definition 3.3.10]

2.28

ILL

interlibrary lending

loan of a document in its physical form or delivery of a document, or part of it, in copied form, from one library to another which is not under the same administration

NOTE Mediated transmission of documents in electronic form is counted as electronic document delivery.

[ISO 2789:2006, definition 3.3.11]

2.29

library collection

all documents provided by a library for its users

NOTE 1 Comprises documents held locally and remote resources for which permanent or temporary access rights have been acquired.

NOTE 2 Access rights can be acquired by the library itself, by a consortium and/or through external funding.

NOTE 3 Acquisition is to be understood as deliberately selecting a document, securing access rights and including it in the online catalogue or other databases of the library. Interlibrary lending and document delivery are excluded.

NOTE 4 Does not include links to Internet resources for which the library has not secured access rights by legal agreements (e.g. legal deposit right), license or other contractual and/or cooperative agreement. Free Internet resources which have been catalogued by the library in its online catalogue or a database need to be counted separately.

[ISO 2789:2006, definition 3.2.22]

2.30

library employee

person who works for a library in return for payment

[ISO 2789:2006, definition 3.6.1]

2.31

library website

unique domain on the Internet consisting of a collection of web pages that is published by a library to provide access to the library's services and resources

NOTE 1 The pages of a website are usually interconnected by the use of hypertext links.

NOTE 2 Excludes documents that fit the definitions of electronic collection and free Internet resources that can be linked from the library website.

NOTE 3 Excludes web services in the library's domain that are operated on behalf of other organizations.

[ISO 2789:2006, definition 3.3.13]

2.32

loan

direct lending or delivery transaction of an item in non-electronic form (e.g. book), of an electronic document on a physical carrier (e.g. CD-ROM) or other device (e.g. eBook reader), or transmission of an electronic document to one user for a limited time period (e.g. eBook)

NOTE 1 Loans include user-initiated renewals as well as registered loans within the library (on-site loans). Renewals need to be counted separately.

NOTE 2 Loans include copied documents supplied in place of original documents (including fax) and printouts of electronic documents made by library staff for the user.

NOTE 3 Loans of documents in physical form to distance users are included here.

NOTE 4 Mediated electronic transmission of documents is counted as electronic document delivery if their use is permitted for unlimited time. This includes transmissions to members of the population to be served.

[ISO 2789:2006, definition 3.3.14]

2.33

mass conservation

simultaneous treatment of a large number of documents by automated conservation techniques

[ISO 5127:2001, definition 6.7.36]

2.34

mission

statement approved by the authorities formulating the organization's goals and its choices in services and product development

[ISO 11620:2008, definition 2.28]

2.35

national bibliography

bibliography in which documents published in a single country are recorded and described

NOTE In some countries, the national bibliography also covers foreign publications relative to the country and also the works by their nationals which are published abroad.

[ISO 9707:2008, definition 2.21]

2.36

national collection

the national library's collection of the national imprint and the national documentary heritage in the form of manuscripts, archival materials, cartographic material, printed music documents, pictures, photographs and audiovisual documents in conventional or electronic format

NOTE Websites can be part of the national collection.

2.37

national imprint

all documents in all formats published in a country

NOTE Includes commercial and non-commercial publications.

2.38

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 can function as a legal deposit library

NOTE 1 Adapted from ISO 5127:2001, definition 3.2.02.

NOTE 2 A national library 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; coordinate a research and development service, etc.

2.39

non-commercial publications

documents in print and electronic format published by non-profit institutions, such as reports, theses and dissertations, conference proceedings etc., often not available through normal book trade channels

2.40

objective

specific target for an activity to be attained as a contribution to achieving the goal of an organization

[ISO 11620:2008, definition 2.29]

2.41

online catalogue

database of bibliographical records describing the collection usually of one particular library or library system

[ISO 2789:2006, definition 3.3.15]

2.42

operating expenditure

ordinary expenditure

expenditure incurred in the running of a library

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

[ISO 2789:2006, definition 3.5.3]

2.43

performance

effectiveness of the provision of services by the library and the efficiency of the allocation and use of resources in providing services

[ISO 11620:2008, definition 2.30]

2.44

performance indicator

numerical, symbolic or verbal expression, derived from library statistics and data used to characterize the performance of a library

[ISO 11620:2008, definition 2.31]

2.45

preservation

all measures taken including financial and strategic decisions, to maintain the integrity and extend the life of documents or collections

[ISO 5127:2001, definition 6.1.01]

2.46

publication

document offered for general distribution and usually produced in multiple copies

[ISO 5127:2001, definition 2.1.11]

2.47

rare material

incunabula, books published before 1800, manuscripts (including fragments and rolls, autographs, music manuscripts)

NOTE The definition excludes archives and records concerning private persons, institutions and organizations (collections containing manuscripts, letters, notes, photos, and other material given by bequest to the library or purchased as such by, or on behalf of, the library).

2.48

restoration

actions taken to return a document which has suffered deterioration or damage as closely as practicable to its original state

NOTE In archival restoration, no attempt is made to recreate missing text, etc., and all restoration work is kept clearly evident.

[ISO 5127:2001, definition 6.1.04]

2.49

seat

seat provided for users for reading or studying, whether with or without equipment

NOTE Includes seats in carrels, in seminar and study rooms and the audiovisual 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.

[ISO 2789:2006, definition 3.4.5]

2.50

special grant

grant of a non-recurrent nature to fund (or partly fund) projects

[ISO 2789:2006, definition 3.5.4]

2.51

stable condition

suitability for use

NOTE Stable material may have some damage but can be used without immediate risk of further damage. Unstable material will be further damaged if used.

2.52

storage

preservation measures for keeping documents under defined conditions and permitting their retrieval or that of the information contained in them

[ISO 5127:2001, definition 6.1.08]

2.53

title

words at the head of a document thus identifying it and normally distinguishing it from others

[ISO 5127:2001, definition 4.2.1.4.01]

NOTE For measuring purposes, "title" describes a document, which forms a separate item with a distinctive title, whether issued in one or several physical units, and disregarding the number of copies of the document held by the library.

[ISO 11620:2008, definition 2.42]

2.54

user

recipient of library services

NOTE The recipient may be a person or an institution, including libraries.

[ISO 2789:2006, definition 3.3.27]

2.55

user training

training programme set up with a specified lesson plan, which aims at specific learning outcomes for the use of library and other information services

NOTE 1 User training can be offered as a tour of the library, as library tuition, or as a web-based service for users.

NOTE 2 The duration of lessons is irrelevant.

[ISO 2789:2006, definition 3.3.28]

2.56

virtual visit

user's request on the library website from outside the library premises, regardless of the number of pages or elements viewed

NOTE Adapted from ISO 2789:2006, definition 3.3.29.

3 Use of performance indicators

3.1 General considerations

3.1.1 The performance indicators described in this Technical Report can be used effectively in the evaluation of national libraries. In this process, the quality and effectiveness of the services and other activities of the library, as well as the efficient use of the library's resources, are evaluated against the mission, goals and objectives of the library itself.

3.1.2 Performance indicators should be linked to systematic library planning and evaluation. Furthermore, measurement and evaluation processes should take place regularly. The results should be reported so as to support the decision-making processes and to demonstrate how the library fulfils its mission. The fulfilment of the mission can be considered from the point of view of different stakeholders (users, funding institutions, other libraries, or the general public).

3.1.3 As a library planning and evaluation tool, performance indicators have three principal objectives:

- a) to facilitate control in the management process,
- b) to serve as a basis for reference and for dialogues between library staff, funding bodies, and the user community, and
- c) to serve in comparative analysis of the performance of libraries and information services which have equivalent missions or objectives.

3.1.4 In recent years, libraries have been using a wide variety of performance indicators for this purpose. Several performance indicators are being used extensively and thus represent an established practice. Recent years have also seen attempts to consolidate previous research efforts in this field, and both have contributed to the attainment of a consensus among practitioners on a set of performance indicators and how to implement them in the day-to-day life of the library.

3.1.5 There are, and will continue to be, emerging areas of evaluation for libraries. For instance, outcome-based assessments as a response to the need for libraries to demonstrate the value, quality, and impacts of their services have emerged in recent years. Performance indicators for the assessment of a national library's impact or outcome should be included in a future edition of this Technical Report.

3.2 Selection of performance indicators

3.2.1 The performance indicators included in this Technical Report are those seen to be most useful for national libraries, corresponding to the main tasks of national libraries. This Technical Report recognizes that there are different types of national libraries, in different settings, having a range of unique characteristics (structure, funding, governance, etc.), and affected by a number of situational factors that impact on the services and resources that the libraries can provide. Therefore, possibly not all performance indicators in this Technical Report may have the same relevance for all national libraries.

3.2.2 National libraries, in consultation with their funding institutions and relevant authorities, such as the national government, as well as their users and other stakeholders, will need to decide which performance indicators are most appropriate to a particular situation. This decision should be taken in light of the mission, goals and objectives of the library. It is desirable that all interested parties be in agreement on the appropriateness of the performance indicators used.

3.3 Limitations of performance measurement

3.3.1 Optimizing scores on performance indicators

Users of library performance indicators should recognize that it is impossible to achieve optimum scores simultaneously on all performance indicators. For example, a library may achieve a high level of user satisfaction, but incur high staff costs. The scores on performance indicators should be interpreted in the light of what the library intends to accomplish, and not simply in terms of optimizing scores on particular performance indicators.

3.3.2 Degree of accuracy

Care should be taken with the interpretation of results. Lack of precision may occur due to sampling errors, or to subjective aspects of the measuring process or to inadequate time or resources for the measuring process.

NOTE In some cases, a rough estimate is sufficient and to seek greater precision would be a waste of effort.

3.3.3 Linking resources to services

While poor performance may seem to indicate that additional resources may be required to improve library services, this is not necessarily true. In fact, there may not be a strong correlation between resources and the quality of library services provided. The range of staff skills, management approaches, and a variety of other factors, including increased resources, may have different effects on increasing the quality of services at different libraries.

3.3.4 Comparability of performance indicator data

The principal purpose of using library performance indicators is for self-evaluation. This may include comparisons of one year's performance with another, within the same library. A secondary purpose is to encourage meaningful and useful comparisons across different libraries. Standardizing performance indicators and the procedures for collecting those data can assist in that process. However, such comparisons shall always be made with respect to the following for each library:

- a) its mission, goals and objectives;
- b) its performance with respect to a range of performance indicators;
- c) its resources;
- d) its user groups;
- e) its governance structure;
- f) its procedures.

If comparisons of performance indicator scores between different libraries are made, they should be done with considerable care and in full recognition of the limitations of such comparisons.

4 Descriptive framework

4.1 Presentation of the performance indicators

The presentation of the performance indicators in this Technical Report follows the list of the main objectives of national libraries as given in Annex A:

- building the national collection;
- making the services accessible by:
 - cataloguing,
 - quick and easy access,
 - usage,
 - digitization;
- offering reference services;
- building potential for development;
- preserving the collection;
- managing efficiently.

4.2 Description of the performance indicators

4.2.1 General

The characteristics used to describe the performance indicator are given in 4.2.2 to 4.2.8.

4.2.2 Name

Each performance indicator has a unique, descriptive name.

4.2.3 Background

The background statement describes the actual state and importance of the service, activity or aspect the performance indicator is meant to measure.

The statement shows what is regarded as quality in the service, activity or aspect in national libraries and what measures/performance indicators have as yet been used for assessing quality.

4.2.4 Definition of the performance indicator

The definition describes the data that are necessary for the performance indicator and their relation.

Definitions of the data elements, for the most part, are based on ISO 2789. If terms are used in a specified sense in the framework of a performance indicator, the special definition is given.

Unambiguous terms used in the customary sense need not be defined.

4.2.5 Objective of the performance indicator

The objective of the performance indicator indicates what the performance indicator is meant to measure in relation to the library's goals.

It describes what types of services or activities would benefit most from using the performance indicator and limitations in the application of the performance indicator.

It explains under what circumstances comparison of results with other libraries may be possible.

4.2.6 Method(s)

This element describes the way in which the data are collected and results are calculated.

If more than one method has been shown to be effective for the same purpose, several methods are described.

If a measure needs to be repeated to determine the value of the performance indicator, this shall be stated clearly.

If possible, the descriptions of methods shall indicate the effort necessary for preparation, data collection and analysis of results.

4.2.7 Interpretation and use of results

This statement discusses how the results might be interpreted, especially reasons for low effectiveness. It points to difficulties and to circumstances that could affect the results.

The statement names possible reactions to the results in order to achieve better results and explains what other performance indicators might be useful in the same context.

The interpretation statement may include information about the variability to be expected, such as seasonal variations or variations in time of day.

4.2.8 Examples and further reading

References are supplied to document the source of the performance indicator or of similar performance indicators. The description should state clearly whether the performance indicator as described in this Technical Report is a modified version of the performance indicators described in the source documents.

If possible, examples are given of results when using this or a similar performance indicator, in order to show the range of results that may be possible and to help libraries in interpreting their own results.

5 List of performance indicators for national libraries

The list of performance indicators given in Annex A is summarized in Table 1 and cross-referenced with those specified in ISO 11620 which have been adapted for evaluation purposes in national libraries.

Table 1 — Performance indicators' activities

Reference in Annex A	Service, activity or aspect measured	Reference of the performance indicator	Adapted from ISO 11620
A.1	Building the national collection	A.1.1 Percentage of National Publications Acquired by the National Library	
		A.1.2 Percentage of Required National Imprint Titles in the Collection	B.1.1.2
A.2	Making the services accessible: Cataloguing	A.2.1 Percentage of New Entries in the National Bibliography	
		A.2.2 Percentage of Rare Materials Accessible via Web Catalogues	
A.3	Making the services accessible: Quick and easy access	A.3.1 Median Time of Document Processing	B.3.2.2
		A.3.2 Shelving Accuracy	B.1.2.1
		A.3.3 Median Time of Document Retrieval from Closed Stacks	B.1.2.2
		A.3.4 Speed of Interlibrary Lending	B.1.2.3
		A.3.5 Direct Access from the Homepage	
A.4	Making the services accessible: Usage	A.4.1 Usage of Foreign Publications Acquired during the Last 3 Years	
		A.4.2 Cost per Download per Electronic Resource	B.3.1.3
		A.4.3 Public Seating Occupancy Rate	B.2.3.1
		A.4.4 Number of Attendances per Cultural Event	B.2.2.5
		A.4.5 User Satisfaction	B.2.4.2
A.5	Making the services accessible: Digitization	A.5.1 Number of Documents Digitized per 1 000 Documents in the Collection	
		A.5.2 Percentage of Documents Digitized per Special Collection	
		A.5.3 Number of Content Units Downloaded per Document Digitized	
A.6	Offering reference services	A.6.1 Correct Answer Fill Rate	B.3.3.2
		A.6.2 Speed of Reference Transactions	
A.7	Building potentials for development	A.7.1 Percentage of Library Staff Providing Electronic Services	B.4.2.1
		A.7.2 Number of Attendance Hours at Formal Training Lessons per Staff Member	B.4.2.2
		A.7.3 Percentage of Library Means Received by Special Grant or Income Generated	B.4.3.1
		A.7.4 Percentage of Staff in National and International Cooperation and Projects	
A.8	Preserving the collection	A.8.1 Percentage of the Collection in Stable Condition	
		A.8.2 Percentage of All Materials Needing Conservation/Restoration Treatment that Received Such Treatment	
		A.8.3 Percentage of Storage Space which has an Appropriate Environment	
A.9	Managing efficiently	A.9.1 Staff Costs per Title Catalogued	
		A.9.2 Staff Costs per Loan	B.3.1.1
		A.9.3 Employee Productivity in Media Processing	B.3.3.4
		A.9.4 Employee Productivity in Lending and Delivery Services	

Annex A (informative)

Description of performance indicators

A.1 Building the national collection

A.1.1 Percentage of National Publications Acquired by the National Library

A.1.1.1 Background

One of the main tasks of a national library is to collect the national production of documents in print and electronic form including cartographic and music documents, pictures, photographs and audiovisual documents (in conventional or electronic format).

In most cases, this is achieved through a legal deposit, although legislation in the countries differs as to the coverage of materials and formats and the methods used to ensure the acquisition. National libraries have also started collecting websites by harvesting techniques.

A.1.1.2 Definition of the performance indicator

The percentage of the national imprint in all possible formats that has been acquired by the national library.

The national imprint is defined as all documents of all formats published in the country. This definition includes commercial and non-commercial publications.

Websites are excluded.

Publications that do not fall within the collecting criteria of the library (e.g. posters or exhibition programmes) are excluded.

A.1.1.3 Objective of the performance indicator

To assess to what degree the library covers the national production. The performance indicator shows whether the library has an adequate awareness of and access to commercial and non-commercial institutions producing documents and whether its claiming procedures are effective.

A.1.1.4 Methods

A.1.1.4.1 It is desirable to calculate the performance indicator separately for commercial and non-commercial publications, and within those two categories to calculate it for each type of document and each format separately. Other categories might apply instead of commercial/non-commercial publications, e.g. government and private publications.

A.1.1.4.2 To assess the coverage of commercial publications:

- a) Count the number of publications listed in all publishers' catalogues or in a central database of publishers that have been published during the previous three years. Count the total number of these acquired by the national library.

The Percentage of National Publications Acquired by the National Library is equal to:

$$\frac{A}{B} \times 100$$

where

A is the number of titles published in the previous three years, as listed in publishers' catalogues or a database, that have been acquired by the library;

B is the total number of titles of the previous three years listed in the catalogues or the database.

- b) Take a random sample of publishers' catalogues of the previous three years. Count the number of titles and count the number of these that have been acquired by the national library.

The Percentage of National Publications Acquired by the National Library is equal to:

$$\frac{A}{B} \times 100$$

where

A is the number of titles in the sample that have been acquired by the library;

B is the total number of titles in the sample.

Round off to one decimal place.

A.1.1.4.3 To assess the coverage of non-commercial publications: Count the number of titles in a random sample of catalogues and bibliographies (e.g. catalogues of official publications per organization, catalogues of different non-commercial organizations, regional bibliographies) of the previous three years. Count the number of these that have been acquired by the national library.

The Percentage of National Publications Acquired by the National Library is equal to:

$$\frac{A}{B} \times 100$$

where

A is the number of titles in the sample that have been acquired by the library;

B is the total number of titles in the sample.

Round off to one decimal place.

A.1.1.4.4 To assess the coverage of commercial publications and non-commercial publications:

Count the number of publications in the national ISSN and ISBN listings during the previous three years.

Compare with the total number of documents acquired by the national library that have an ISSN or ISBN and were published during the same period. If there is a concordance between the ISSN/ISBN and legal deposit number, this will be easy.

The Percentage of National Publications Acquired by the National Library is equal to

$$\frac{A}{B} \times 100$$

where

A is the total number of titles acquired by the national library;

B is the total number of titles in the source catalogues or bibliographies.

Round off to one decimal place.

This method is less time-consuming, but the results may be biased, if a relevant part of the national imprint is published without an ISSN/ISBN.

A.1.1.5 Interpretation and use of results

The performance indicator shows whether the library has adequate knowledge of the national production and whether its claiming procedures are effective.

The results concerning commercial publications will be reliable as far as publishers' catalogues or a joint publishers' database exist. The results concerning non-commercial publications are reliable per organization if complete and recent catalogues exist. Sources like regional bibliographies will have varying degrees of reliability, depending on the method of compilation.

If the results show a low coverage of the national imprint, actions to be taken could be

- to build and maintain a current database of contacts for publishing institutions,
- to promote the library's task of collecting the national imprint.

The existence of regional libraries in the country that collect the regional imprint can affect the performance indicator. The national library should be in close contact with such libraries.

A.1.1.6 Examples and further reading

The National Library of the Netherlands uses the performance indicator "Publishers' percentage of cover (deposit collection)". The result was 98 % in 2004 and 97 % in 2005 (Koninklijke Bibliotheek, 2005). The library collects commercial and non-commercial publications of the national imprint, delivered on a voluntary basis.

In 2005, the coverage of the deposit collection was examined separately for books with an ISBN, books without an ISBN and current periodicals (Voorbij and Lemmen, 2006 and 2007). A random sample of titles published in 2003 was checked in the first half of 2005. For books with an ISBN, the Dutch ISBN database was used as bibliographic source. The coverage was 95 %. For books without an ISBN, mostly "grey" literature, the Pica database was used. This database holds the records of many academic, special and large public libraries in the Netherlands. The coverage was 70 %. For periodicals, the sources used were a handbook of periodicals in the Netherlands and again the Pica database. The coverage was 94 % and 84 %, respectively.

The National Diet Library of Japan assessed their coverage of national publications published during the year 2005. They counted government and private publications separately. The results are as follows (Tokuhara, 2008):

- government publications (commercial): 89,8 %;
- government publications (non-commercial): 46,0 %;
- private publications (all commercial): 88,0 %.

A.1.2 Percentage of Required National Imprint Titles in the Collection

A.1.2.1 Background

The main task of national libraries is to collect the national imprint, in most cases via legal deposit. The national imprint includes publications in all formats, commercial and non-commercial publications. The collection policies of national libraries differ as to the inclusion of ephemera or web publications. The policy is in most cases regulated by legal statutes.

The collection of the national imprint should be as far as possible comprehensive, if the collection policy does not exclude certain materials. In all probability, its spread of titles will therefore be more than the sum of all other library collections in the country, as it can include national materials that no other library collects.

A.1.2.2 Definition of the performance indicator

The percentage of national imprint titles required by users that have been acquired by the national library.

The national imprint is defined as all documents of all formats published in the country. The definition includes commercial and non-commercial publications.

Websites are excluded.

User requests of a title include loan, interlibrary loan and document delivery requests by individual users or other libraries.

A.1.2.3 Objective of the performance indicator

To assess to what extent national imprint titles in demand by users are owned by the library.

Comparisons between national libraries may be possible, if similar collection policies are followed.

A.1.2.4 Method

Draw a random sample of national imprint titles required by users.

For the purpose of this performance indicator, titles include all types of documents, but not websites. Record for each title in the sample whether the library owns a copy of that title.

The Percentage of Required National Imprint Titles in the Collection is equal to:

$$\frac{A}{B} \times 100$$

where

A is the number of required titles in the sample owned by the national library;

B is the total number of required titles in the sample.

Round off to one decimal place.

It will be useful to evaluate commercial and non-commercial publications separately.

For those two categories, it can also be useful to evaluate each type of document and each format separately.

A.1.2.5 Interpretation and use of results

A high score indicates that the library fulfils its task of collecting the national imprint in a comprehensive way.

A low score indicates an inadequate coverage of the national production by the national library.

Actions to be taken could be

- to evaluate incoming user requests and try to acquire missing items,
- to build and maintain a current database of contacts for publishing institutions,
- to promote the library's task of collecting the national imprint.

The existence of regional libraries in the country that collect the regional imprint can affect the performance indicator. The national library should be in close contact with such libraries.

A.1.2.6 Examples and further reading

No example was found where this performance indicator is used only for the supply and demand for the national imprint. However, a similar methodology is used for measuring the supply and demand for collections that should cover a specified subject or region as comprehensively as possible. For example, the performance indicator was used in the German special subject collections programme. In Germany, the provision of literature and information for research is supported by a system of special collections, where specified libraries build and maintain comprehensive collections of national and foreign literature and information for certain subjects, e.g. biology or history. The German Research Foundation (DFG) supports the system by funding the acquisition of specialized foreign literature. In the evaluation study of 2002, one of the topics investigated was the coverage of foreign literature in the special collections (Universitäts- und Landesbibliothek Münster, 2003). The libraries evaluated the incoming requests in interlibrary lending, considering only titles that should have been acquired by the library according to the coverage of the special collection. The percentage of user requests fulfilled varied between 53 % and 86 %.

The British Library uses the performance indicator “Document supply and monograph lending fulfilment rate” (British Library, 2007). The target for 2005/2006 was 82 %; the actual rate was 80 %. As more researchers use electronic resources, the requests for lending and delivery that the library receives are increasingly concerning hard-to-find materials, so that the fulfilment rate decreased slightly in comparison to previous years. This performance indicator measures all requests, not only those for the national imprint.

A.2 Making the services accessible: Cataloguing

A.2.1 Percentage of New Entries in the National Bibliography

A.2.1.1 Background

Most national libraries publish the cataloguing data of the national imprint in the national bibliography. It is important for access to the national imprint that new publications are acquired and catalogued as soon as possible. Therefore, speed is generally seen as an important criterion of the quality of national bibliographies. “The overall aim of a national bibliographic service should be to ensure good coverage as comprehensively and speedily as possible...” (Bryant, 1989). The International Conference on National Bibliographic Services in Copenhagen formulated as one of its recommendations: “The national bibliography should list material as soon as possible after publication.” (ICNBS, 1998).

A.2.1.2 Definition of the performance indicator

Percentage of new entries in the national bibliography that refer to publications of the last two years.

The performance indicator may be calculated separately for different categories of material.

A.2.1.3 Objective of the performance indicator

To assess the library’s speed of acquisition and cataloguing and therewith the efficiency of its processes.

The performance indicator does not measure the quality of the cataloguing data.

A.2.1.4 Method

For one year, count the number of entries appearing in the national bibliography which were published during that year and the preceding year.

EXAMPLE Entries in the 2006 bibliography that were published in 2005 and 2006.

If it is not possible to collect the data via the automated system, a random sample should be taken.

The Percentage of New Entries in the National Bibliography is equal to:

$$\frac{A}{B} \times 100$$

where

A is the number of new entries for publications of the last 2 years;

B is the total number of new entries in the national bibliography during one year.

Round off to the nearest integer.

A.2.1.5 Interpretation and use of results

The performance indicator is an integer between 0 and 100. A high score would be seen as good. It means that the national library's acquisition and cataloguing processes are efficient.

A low percentage could have a variety of causes:

- the library's claiming procedures for legal deposit titles could be insufficient;
- the library could be aware too late of new publications, especially of non-commercial publications;
- there could be backlogs in cataloguing;
- there could be time delays between cataloguing and insertion of titles into the bibliography.

In the case of low scores, the library should investigate whether its acquisition or cataloguing procedures are at fault. If acquisition seems too slow, the library could try to increase the number and type of sources for the acquisition of legal deposit materials and to improve its relations with publishers. If cataloguing seems too slow, the library should review the workflow for cataloguing.

It should be kept in mind that there are other quality criteria for the national bibliography beside speed. More details as to the quality of the national bibliography can be gained by surveying the main users of the bibliography, e.g. other libraries.

A.2.1.6 Examples and further reading

Several national libraries count yearly the number of new entries in the national bibliography; see for example the British Library and the National Libraries of the Netherlands, France and Finland.

Both the British Library and the National Library of the Netherlands also count the different types of material that have been catalogued during one year.

The German National Library tested the performance indicator for 3 different sections of the German National Bibliography. In 2006, the percentage of new entries (2005 and 2006) was:

- for commercial publications: 91,2 %;
- for non-commercial publications: 78,0 %;
- for doctoral dissertations: 59,7 %.

A.2.2 Percentage of Rare Materials Accessible via Web Catalogues

A.2.2.1 Background

National libraries generally possess considerable collections of rare materials, such as manuscripts, incunabula and rare books. Such collections are sometimes not yet fully catalogued, or the cataloguing data are only searchable via book, card or manuscript catalogues.

Such older catalogues are gradually converted into online catalogues in order to make the titles accessible for everybody via the web.

A.2.2.2 Definition of the performance indicator

Percentage of rare materials in a national library's collection that can be retrieved in the web catalogue(s) of the national library.

In the sense of this performance indicator, rare materials are incunabula, manuscripts and books published before 1800.

NOTE The definition excludes archives and records concerning private persons, institutions and organizations (collections containing manuscripts, letters, notes, photos, and other material given by bequest to the library or purchased as such by, or on behalf of, the library).

The performance indicator may be calculated separately for different categories of material.

A.2.2.3 Objective of the performance indicator

To assess whether the rare collections are accessible via the web. The performance indicator also measures the library's engagement in promoting its rare collection.

A.2.2.4 Method

Count the total number of rare materials in the library's collections. If the real number is not available an estimate should be made.

Count the number of rare materials' cataloguing records that are contained in the library's web catalogue(s).

The Percentage of Rare Materials Accessible via Web Catalogues is equal to:

$$\frac{A}{B} \times 100$$

where

A is the number of rare materials retrievable via web catalogues;

B is the total number of rare materials.

Round off to nearest integer.

The performance indicator may be split up as to materials.

A.2.2.5 Interpretation and use of results

The performance indicator is an integer between 0 and 100.

A high score is considered as good. It means that a high percentage of the rare material is retrievable via web catalogues and therefore can be easily located by users.

If the score is low, the national library could, for example, initiate projects for retrospective cataloguing of rare materials directly into the web catalogues.

A.2.2.6 Examples and further reading

National libraries are trying to make rare materials that are only searchable in traditional catalogues more accessible. Such projects are often mentioned in the annual reports.

The titles are either included in the main online catalogue of the library, or there are separate web catalogues for specified groups of rare material. The national library sometimes also has the responsibility for the national database of incunabula or manuscripts.

The British Library is cataloguing rare materials in The English Short Title Catalogue (ESTC) which lists over 460 000 items published between 1473 and 1800. The material in the ESTC is for the most part from the collections of the British Library, but a number of the titles are from other libraries.

The online Manuscripts Catalogue, also found at the British Library, offers a single means of access to the mainstream catalogues of the British Library Department of Manuscripts.

The Bavarian State Library holds 91 400 medieval manuscripts and 19 900 incunabula. At the end of 2007 all incunabula and 31 640 medieval manuscripts were catalogued in web catalogues. Thus, all in all, 46,3 % of these rare materials are catalogued electronically.

In 2004 the National Library of the Netherlands started a three-year project for completing and digitizing the records of its manuscript collection (Koninklijke Bibliotheek, 2004).

A.3 Making the services accessible: Quick and easy access

A.3.1 Median Time of Document Processing

A.3.1.1 Background

The background processes in a library are important for the delivery of library services. Their quality can be expressed by measures such as accuracy and speed. As the processing, i.e. acquisition and cataloguing, of new documents is a process that occurs in all libraries, it has proved convenient to evaluate the effectiveness of background services by the example of media processing.

Processing procedures include acquisition, descriptive cataloguing, subject indexing, binding (if applicable), physical processing, and shelving.

In many libraries acquisition and cataloguing processes are now combined in a media processing department and will be carried out in one operation.

In some libraries, activities for catalogue enrichment, such as adding content tables, summaries or book jacket texts, may be included in the processing.

A.3.1.2 Definition of the performance indicator

Median number of days between the day a document arrives at the library and the day it is available for the user on the shelf or in electronic form on the server.

A.3.1.3 Objective of the performance indicator

To assess whether the different processing procedures are effective as to speed. The performance indicator is especially useful for monographs. It can be applied to different types of documents or different subjects.

Comparisons between libraries are possible, but only if differences in mission affecting the level of descriptive cataloguing, subject cataloguing, binding policies, etc., are taken into account. When interpreting the results, differences in computerization and the use of copy cataloguing should be given special attention.

A.3.1.4 Methods

A.3.1.4.1 The period used for measurement (e.g. one month) is fixed by the user of the performance indicator. Collect data on documents arriving in the library during the specified period. Keep logs, either by a computerized library system or by a log sheet accompanying the document through the process.

For each document the exact dates of all stages of processing should be logged:

- receipt, including administrative process;
- cataloguing/metadata tags (including catalogue enrichment activities, such as adding content tables or book jacket texts);
- subject cataloguing/metadata tags;
- physical processing (stamping, labelling, bar-coding, applying a magnetic strip);
- bindery preparation;
- binding;
- shelving or installation on the server.

For electronic documents, the end of processing will either coincide with cataloguing, when the URL for a document on an external server has been added, or with the installation of the document on the library's server or on the server of a partner institution and the URL being added in the catalogue.

For each title, calculate the number of days between arrival and availability. Rank the titles according to the number of days elapsed.

The Median Time of Document Processing is the number of days that is in the middle of the ranking list.

If the number of titles is even, the Median Time of Document Processing is equal to

$$\frac{A + B}{2}$$

where *A* and *B* are the two values in the middle of the ranking list.

Round off to the nearest integer.

Special processing procedures for different documents (e.g. rush procedures, rare documents, gift and exchange documents) should be analysed separately. The median time of each stage of processing can be calculated in the same way.

A.3.1.4.2 The period used for measurement (e.g. one month) is fixed by the user of the performance indicator. Collect data on documents which complete their processing in the library during the specified period. Inspect the documentation or computer files to determine the dates of

- receipt, including administrative process;
- completion of cataloguing/metadata process;
- completion of subject cataloguing/metadata process;
- physical processing (stamping, labelling, bar-coding, applying a magnetic strip);
- completion of bindery preparation;
- completion of binding;
- shelving or installation on the server.