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Alma Annual Statistics Analytics Project Team May 2023 Report: Recommendations for standardizing, harmonizing and centralizing the UC Libraries / UC Office of the President Annual Statistics

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Alma Annual Statistics Analytics Project Team

May 2023 Report: Recommendations for standardizing,
harmonizing and centralizing the UC Libraries / UC Office
of the President Annual Statistics

Endorsed by:

Council of University Librarians (July 10, 2023)

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Executive Summary

The Alma Annual Statistics Analytics Project Team (AASA-PT) is charged to consider how the UC Libraries might better meet our shared data reporting obligations by harmonizing and centralizing data outputs through the Alma Analytics Network Zone. AASA-PT has initially focused on the UC Libraries and Office of the President (UCL/UCOP) annual statistics, to determine how the libraries can improve the quality of our data reports and reduce the associated systemwide workload.

To achieve these outcomes, AASA-PT is submitting 11 recommendations as part of its May 2023 deliverable to the SILS Leadership Group (SILS-LG); recommendation #10 also includes a request for SILS-LG guidance. As summarized here and detailed in the full report, these recommendations are made following consultation at the campus, Office of the President (OP) and systemwide levels, as well as testing, iteration and verification within Alma Analytics Network Zone and Institution Zones. Existing statistics requirements for ARL and ACRL were also reviewed, so that some initial standardization across these reporting obligations can be pursued. Although some final refinements are still under development, the proposed Network Zone prototype included with this report implements most of the recommendations and demonstrates significant progress towards harmonization and centralization.

With endorsement of these recommendations, duplicative and labor-intensive processes will be reduced, starting in summer 2023 for FY22/23 statistics:

- Approximately 67% of the data will be Network Zone-generated for UCL/UCOP annual statistics, based on agreed-upon harmonization, completed by CDL analysts and distributed to campuses;
- 22% will be managed at the Institution Zone through a shared data template designed by the Resource Sharing Analytics Project Team; some centralization in the Network Zone may be possible in future years; and
- 11% remains non-ILS data, and will continue to be managed at the campus level and submitted annually to CDL for the UCL/UCOP annual statistics. This includes statistics for special collections and archives materials.

Once this initial harmonization and centralization work is complete for UCL/UCOP annual statistics, the AASA-PT will transition to harmonizing and centralizing reporting for Association of Research Libraries (ARL), Association of College and Research Libraries (ACRL)/Integrated Postsecondary Education Data System (IPEDS) and Council for East Asian Libraries (CEAL) reporting obligations. Refinements to centralized reports should also be pursued through assessment and iteration. AASA-PT also notes the incredible opportunity to continue to co-develop new centralized reports of shared interest and impact.

Recommendations for UCL/UCOP annual statistics

In-scope data for Network Zone reporting

1. **In-scope data: Most holdings, physical materials for risk management, print circulation and eBooks.** [Current 21/22 schedules](#) A, D, E-II and F-2 are in-scope for refinement, harmonization and centralization in Alma Analytics Network Zone.

2. **Out-of-scope data: Holdings of Special Collections and Archives materials.** Individual campuses may opt-in to include their special collections and archives holdings in centralized reporting. Otherwise, campuses will locally manage and report special collections and archives holdings (totals by resource type and by location) for annual submission to CDL.
3. **Out of scope data: Interlibrary and intercampus loans.** The libraries will continue to utilize the Schedule C shared reporting template built by the SILS Resource Sharing Alma Analytics Subteam (note: at the time of this report, the subteam is still troubleshooting an anonymization defect). The Schedule C shared template is run and managed locally in the Institution Zone; in future, intercampus-lending might be integrated into centralized reporting.

Edits for Network Zone reporting requirements

Unless otherwise noted, AASA-PT is responsible for implementing these recommendations for summer 2023 Network Zone reporting.

4. **Revise naming conventions and instructions.** Naming of the UCL/UCOP schedules, data tables and fields will be revised and maintained to achieve shared understanding and clarity. Based on these changes and other edits to UCL/UCOP annual statistics, the accompanying reporting instructions will also be revised; revised instructions will be drafted by CDL, for AASA-PT review and endorsement.
5. **Centralize and then further harmonize data points over time.** For some of the UCL/UCOP data requirements (e.g., circulation by user group, trial indicators, D/PA, etc.), centralized reporting will be implemented for summer 2023 but the report output will not yet be harmonized. Because existing statistics requirements and campus needs are met with the centralized-but-not-harmonized approach, UC will wait to carry out further harmonization (pending additional analysis and need).
6. **Exclude unnecessary data points.** Two unused data points are not prioritized for inclusion in Network Zone Alma Analytics reporting:
 - Start of fiscal year totals for holdings. Totals from the prior year can be used, which was already standard practice previously. Contextual notes about changes to report queries or cataloging can continue to be included.
 - Electronic reference sources - quantity and searches. In the future, UCL/UC annual statistics can be aligned with ACRL to include a total count for *databases*. This work can be completed when AASA-PT harmonizes ACRL reporting.
7. **Use a standard Alma Analytics data source for categories; stop manual counts for in-scope data.** Where UCL/UCOP annual statistics include reporting by material category (e.g., Volume, Serial, etc.), UC will generate this data from Alma Analytics and use the Resource Type field in Alma for both physical and electronic materials. This offers a consistent, shared set of types across the campuses, negates the need for immediate clean-up because the categories are automatically constructed from standard MARC fields, and allows UC to stop maintaining manual counts.
8. **Use a standard data source for dates.** Date-based reporting in the Network Zone will utilize Item Creation Date for physical holdings and Activation Date for electronic holdings.

9. **Report useful subtotals.** Reporting of useful combined totals will include distinct subtotals where possible, including reporting physical and electronic holdings as distinct counts.

RLF Holdings *and request for guidance*

10. **Choose an approach for RLF holdings.** The two best options are reporting by 1. the original depositor (status quo) or 2. RLFs as distinct units. AASA-PT seeks SILS-LG's assistance in determining who the appropriate decision-maker should be for this recommendation.

Future directions

11. **Revise AASA-PT charge to include iteration and future improvements.** The project team will propose revisions to its charge, to be submitted to SILS-LG for endorsement no later than August 2023. The revised charge will include:
 - Revised timeline for harmonizing and centralizing shared reporting obligations for ARL, ACRL/IPEDS and CEAL;
 - Assessment activities following the 22/23 reporting cycle: to evaluate centralized approaches, pursue iteration and refinements to the underlying reporting queries as needed, and identify and advance opportunities to further harmonize;
 - Responsibility to consider and propose potential principles and processes to support UC data sharing and access that enables the libraries to innovate and best take advantage of the UC Libraries' shared enterprise system;
 - Responsibility to propose a charge for a subsequent team, to commence once the AASA-PT completes its work, to support any ongoing coordination and further iteration of existing reporting obligations, and co-develop new, impactful centralized reports to expand data-based decision-making locally and systemwide. Some reporting responsibilities will remain local for the foreseeable future.

Introduction

The Alma Annual Statistics Analytics Project Team (AASA-PT) was charged by the SILS Leadership Group (SILS-LG) in fall 2022 to recommend opportunities to harmonize, centralize and improve reporting for shared statistics obligations (see appendix A for the project team's charge and roster). At the SILS-LG's recommendation, the AASA-PT has initially focused on [the UC Libraries and Office of the President \(UCL/UCOP\) annual statistics](#) to support reporting of FY2022/23 data this summer. Following completion of this initial phase of work, the project team will transition to harmonizing and centralizing reporting for Association of Research Libraries (ARL), Association of College and Research Libraries (ACRL)/Integrated Postsecondary Education Data System (IPEDS) and Council for East Asian Libraries (CEAL) data obligations (listed in the priority order communicated by SILS-LG).

The work of the AASA-PT has been informed by the five shared principles for streamlining annual statistics through the SILS, co-developed by the SILS-LG, Direction and Oversight Committee (DOC) and Council of University Librarians (CoUL):

1. We seek to reduce unnecessary manual and duplicative work;
2. We acknowledge that annual data submissions (whether to a third party or UCL/OP) will continue to require ownership by each campus and involve non-Alma data that is outside of the project team's scope;
3. We seek to harmonize how we count and report Alma data for annual statistics (in other words, we will seek alignment and to count the same things in the same ways). UC is committed to use the same reporting/data definitions for all reports;
4. We view this work as transformational, and a step towards further change and improved data insights through the SILS/Alma;
5. We affirm that this project's investigation and technical implementation will likely result in our statistics (i.e., our counts) looking different from prior years, particularly if we successfully realize our shared principles.

The AASA-PT was further asked to identify opportunities to: Remove and change UCL/UCOP statistics requirements that are no longer valuable or no longer viable for reporting; standardize UCL/UCOP annual statistics with overlapping reporting obligations, primarily from ARL and ACRL; and centralize reporting and analytics in the Network Zone.

This report outlines the AASA-PT's recommendations for achieving our shared goals, improving the quality of our statistics and reducing the UC-wide workload associated with report generation.

Consultation approaches

As a representative project team, the AASA-PT includes members from the ten campuses and CDL. Each member serves as an expert on local statistics and reporting practices, and participates in project team discussions and subteam work. AASA-PT members also act as liaisons for local consultation and engagement, which has varied depending on local practices, needs and the domain expertise of the

representative to the project team. Local consultation included those previously involved in generating UCL/UCOP annual statistics, including special collections and archives colleagues. A survey and analysis of local practices for statistics reporting was also performed.

AASA-PT additionally pursued systemwide consultations. Project team representatives met with the UC Heads of Special Collections (HOSC) to convey the scope and goals of the team's charge and confirm HOSC feedback and recommendations. RLF and Shared Print representatives¹ also joined a project team meeting to discuss RLF and shared print implications for reporting. And the AASA-PT chair communicated with the SILS E-Resources Operations Subteam chair to ensure future collaboration on statistics for electronic materials and with the SILS Resource Management Subteam chair to signal that potential cleanup projects might be identified through the Network Zone-generated statistics.

Colleagues in the Office of the President (OP) were also consulted to ensure the annual statistics continue to meet risk-management needs and can be utilized in the *UC Budget for Current Operations* (see [FY Budget Detail reports](#)). Currently, the UCL/UCOP annual statistics are only shared with the Budget, Analysis and Planning (BAP) and Liability and Property Programs (LPP) offices. Primary contacts² from the BAP and LPP offices reviewed and endorsed the applicable proposed changes being advanced by AASA-PT in this report.

Determining in-scope data for UCL/UCOP annual statistics

The UC Libraries have collected systemwide statistics in partnership with OP for over 75 years.³ While the statistics have changed and evolved over time, the present incarnation of the UCL/UCOP annual statistics has remained largely unchanged in recent years.⁴ The UCL/UCOP data requirements and instructions are defined by the libraries in consultation with OP, and CoUL serves as the final decision-maker.

Prior to the changes recommended by AASA-PT, the UCL/UCOP annual statistics have five data schedules ([available as an Excel spreadsheet from libraries.universityofcalifornia.edu](#)):

- Schedule A (report of holdings);
- Schedule C (report of intercampus loan transactions, between the campuses and RLFs, and interlibrary loan transactions to other, non-UC libraries);
- Schedule D (library materials by building location for risk management);

¹ AASA-PT met with: Tin Tran, processing manager and shared print coordinator, SRLF; Tim Converse, operations manager, NRLF; Alison Wohlers, shared print manager, CDL; and Anna Striker, shared print operations and collections analyst, CDL.

² AASA-PT consulted with: Gary Leonard, executive director, Liability and Property Programs, UCOP; Maria Olmos, senior budget analyst, Budget Analysis and Planning, UCOP.

³ The physical and digital systemwide library planning archives at CDL hold UCL/UCOP annual statistics reports from 1945 to present day. Earlier systemwide statistics activities also likely occurred.

⁴ At one point, UCL/UCOP annual statistics were closely aligned with the ARL statistics requirements for member institutions; when ARL statistics changed several years ago, the libraries decided not to change the UCL/UCOP data gathered. For the 21/22 annual statistics, CoUL endorsed the removal of schedule B (deselected volumes in lieu of a shared print and/or RLF copy); this change was reviewed by RLF and shared print experts, as well as all campus library leadership teams, before the decision was finalized.

- Schedule E (services and circulation); and
- Schedule F (digital resources).

To determine which statistics are in scope for the work of AASA-PT, all data points requested in the UCL/UCOP annual statistics process were reviewed. In-scope was initially defined as data that is ILS-based (either previously collected through Alma Analytics in 21/22 reporting, or where it was likely possible to collect through Alma Analytics). Determination of in-scope was further refined in consultation with special collections and archives experts, including HOSC, as well as the Intercampus Resource Sharing Operations Subteam. From the AASA-PT analysis and consultations, three recommendations are submitted for determining in-scope and out-of-scope data for 22/23 centralized Alma Analytics Network Zone reporting.

Recommendations: In-scope data

1. **In-scope data: Most holdings, physical materials for risk management, circulation, and eBooks.** [Current 21/22 schedules](#) A, D, E-II and F-2 are in-scope for refinement, harmonization and centralization in Alma Analytics Network Zone.
2. **Out-of-scope data: Holdings of Special Collections and Archives materials.** Individual campuses may opt-in to include their special collections and archives holdings in centralized reporting. Otherwise, campuses will locally manage and report special collections and archives holdings (totals by resource type and by location) for annual submission to CDL.⁵
3. **Out of scope data: Interlibrary and intercampus loans.** The libraries should continue to utilize the Schedule C shared reporting template built by the SILS Resource Sharing Alma Analytics Subteam (note: at the time of this report, the subteam is still troubleshooting an anonymization defect). The Schedule C shared template is run and managed locally in the Institution Zone; in future, intercampus-lending might be integrated into centralized reporting.

Analysis for Network Zone implementation for UCL/UCOP annual statistics

Further AASA-PT analysis focused on refining the UCL/UCOP data elements and instructions based on need (i.e., whether they are used at the campus, systemwide or OP levels), before then pursuing harmonization, standardization and centralized reporting within Alma Analytics Network Zone. The project team also considered current and potential reporting inconsistencies, and analyzed Institution Zone analytics approaches used for summer 2022 UCL/UCOP annual statistics.

⁵ Given the underlying complexities of the recommendation, feedback from local and systemwide consultation with domain experts and additional analysis is included in the AASA-PT's decision page on the Manuscript Resource Type, available on the SILS wiki at <https://uc-sils.atlassian.net/wiki/spaces/AASAPT/pages/2125627409/Statistics+Manuscript+Resource+Type+-+item+counts> .

Regarding existing Institution Zone Alma Analytics practices, the project team identified both commonalities and differences among the campuses. Given the broader refinements and further changes ultimately agreed upon by AASA-PT, no individual Institution Zone reporting was copied, intact, into the Network Zone.

Inconsistent and unnecessary data

AASA-PT agreed that edits to UCL/UCOP annual statistics should support shared understanding and ongoing utility of these data, because a lack of clarity and varying interpretations have led to differences in data submissions over the years.⁶ Several aspects of the UCL/UCOP annual statistics are also now outdated and no longer meaningful, or do not reflect new access models, which further creates opportunities to revise the data schedules.⁷ Moreover, data used only for special projects (e.g., one-time weeding projects for a single source type, like CD-ROMs) are out-of-scope for a UCL/UCOP annual statistics.

While AASA-PT considered removing withdrawn holdings by fiscal year from UCL/UCOP annual statistics, the field remains in the proposed prototype template for FY22/23 reporting (see upcoming subsection, “Recommendations: Edits to the UCL/UCOP annual statistics for Network Zone implementation,” and appendix C). Ultimately, AASA-PT determined that further assessment is warranted around campus practices and the usefulness of this data point. Because the quality of the underlying data for withdrawn holdings also varies by campus, future analysis may also result in potential metadata and cataloging practice changes at the campus level.

Categorical reporting

One challenge of the current UCL/UCOP annual statistics process is the Library Material categories used in Schedules A and D, which total 28 categories, represent a UC Libraries-designed approach, and are disconnected from any fixed, controlled vocabulary found in MARC records. This approach to categorical reporting has required campuses to manipulate and recategorize their holdings data each year to fit the template, and in some instances manual counts have been maintained by campuses for select categories. Further, despite their detail, the current UCL/UCOP Library Material categories include distinctions that are no longer useful and likely leave some items unreported.

⁶ For example, in Schedule A, the existing (21/22 reporting and earlier) Government Documents field is intended to track uncataloged materials only and cataloged government documents are to be reported in the Volumes (or other material-type) field. However, several campuses report cataloged holdings in both the Government Documents and Volumes field, leading to double counting. Additionally, because several fields total multiple values of importance (e.g., combining print and digital), it has sometimes been unclear what the combined totals represent to users of the data and the utility of the distinct values has been lost.

⁷ For example, the distinction between “purchased” and “not purchased” serial titles has lost its intended meaning over the years and been reinterpreted by some as subscription/open access reporting (if a campus/UC does not pay for a ceased electronic title where access is maintained, it is meant to be counted as currently received but “not purchased”). As well, the UCL/UCOP annual statistics instructions are silent on demand-driven and like models, even though ARL and ACRL instructions exclude this type of unlicensed material.

In reviewing campus library reporting practices, several category distinctions have been interpreted differently over time or become detached from their initial purpose. For example, UCL/UCOP has long required reporting of “currently received” serials only. In the instructions, an exception is made for counting ceased electronic serial titles but ceased print titles have continued to be excluded. Despite this, AASA-PT members found that most campuses have been reporting total serial titles, which is also in alignment with ARL and ACRL reporting.

In consultation with OP LPP colleagues, AASA-PT determined that new material categories can be pursued, as long as the libraries provide the University’s insurer and underwriters with a crosswalk between the former and new categories, to support the transition. Even though categorical reporting is not requested for ARL and ACRL, maintaining relatively detailed reporting categories remains important for UC Libraries risk management.

For 21/22 reporting in Alma Analytics Institution Zones, many campuses used the Material Type field for categorical reporting. Because Material Type is alterable, campuses have customized these types extensively to meet local needs and there are currently over 130 Material Types. Material Type required significant re-mapping for FY 21/22 annual statistics, and because new Material Types can be introduced at any time, use of this field would require regular report maintenance even after the initial recategorizing was configured in Alma Analytics.

In reviewing suitable alternatives, AASA-PT identified the Resource Type field. Resource Type is automatically constructed based on MARC bibliographic fields, such as the LDR and 008. It offers a consistent and shared set of types across the campuses, negates the need to recategorize, and allows UC to best take advantage of Alma’s functionality while maintaining sufficient detail for risk management purposes.⁸ This approach also means that manual counts will no longer need to be maintained, unless they are required for the special collections and archives reporting that will continue to be managed at the campus level.

Date-based reporting

An analysis of FY21/22 Institution Zone analytics practices identified several options for date fields to use when reporting counts of electronic and physical items.⁹

Physical holdings. Two existing approaches were used to report holdings added and withdrawn in a given fiscal year. While most campuses utilized the Receiving Date found in Physical Item Details, two utilized Item Creation Date. This difference stems from the two campuses not using the Receiving Date consistently. Further assessment of these date fields found some issues with both. Receiving Date values

⁸ See Appendix B for a comparison chart of the current UCL/UCOP annual statistics Material Types, and Alma Analytics Resource Types. Additional detail and analysis is included in the AASA-PT’s decision page for the use of Resource Type in Alma, available on the SILS wiki at <https://uc-sils.atlassian.net/wiki/spaces/AASAPT/pages/2140176385/Statistics+Categories+for+Item+Counts>

⁹ Due to the way Alma stores dates, date-based queries (e.g., withdrawn and added materials by fiscal year) can undercount both physical and electronic items. The CDL Operations Center is working with Ex Libris to investigate and resolve this and related issues. See the decision page for the use of dates in item counts, available on the SILS wiki at <https://uc-sils.atlassian.net/wiki/spaces/AASAPT/pages/2143748109/Statistics+Dates+for+item+counts>

include some future dates that are likely migration artifacts, but using Creation Date means on-order and predicted items that have not yet been received are counted prematurely. Following local consultation and data analysis, Item Creation Date was determined to be a suitable shared approach that balances limitations of date-based reporting with the need for acceptably accurate data.

Electronic holdings. Activation Date was used in Institution Zone reporting and can be utilized as the shared approach in the Network Zone. Queries will be adjusted to account for migration artifacts and other significant data quality issues.

Analysis of RLF reporting options

Current (21/22 and earlier) UCL/UCOP annual statistics practice counts RLF deposits in the campus-specific Schedules A and D submissions. In Schedule D, the NRLF and/or SRLF are listed as campus sublocations for reporting physical holdings by resource type. Some campuses maintain local, suppressed records for deposits made to the RLFs, whereas other campuses have asked NRLF and SRLF to generate holdings reports.

To account for RLF-based deduplication over the years, RLF colleagues confirmed with AASA-PT that the NRLF and SRLF sublocation records in Alma should be the authoritative records for reporting persistent (circulating, non-restricted) collections housed at these facilities. NRLF and SRLF have also both maintained applicable metadata indicating the original depositor, along with shared print information.

RLF metadata practices make it technically possible to use Alma Analytics to report the collective, persistent collections stored at these facilities in a variety of different ways. RLF holdings can be integrated into reporting for the host campuses, reported as distinct units parallel to campus reporting, attributed to the original depositor and/or a combination of the above approaches, depending on the desired output or required analysis.¹⁰ This report focuses on two options: RLF holdings attributed to the original depositor, which is currently the status quo; and RLFs as distinct reporting units.

- **Status quo.** This approach is in alignment with the UC Libraries' current stewardship model, where each campus retains responsibility for costs associated with repair and replacement of materials. And although ownership of RLF persistent collections, like all UC collections, centrally resides with the UC Regents, AASA-PT acknowledges that there are important, local interests and stakeholder groups, where being able to retain a clear campus connection to deposited materials is highly valued.
- **RLFs as distinct units.** With this approach, the UC Libraries would be able to report holdings that do not have an original depositor, such as the shared print for licensed content collection. Further, given the expansion of the RLF-based shared print collections over the past decade, the original depositor distinction has lost some value: for the Journal Archiving Campaign Service (JACS), multiple campuses submit candidates for RLF accession and only one copy is selected; gaps in journal backfiles are also filled with holdings donated from WEST partner libraries. By

¹⁰ See the detailed analysis on the decision page for determining how to report RLF holdings, available on the SILS wiki at <https://uc-sils.atlassian.net/wiki/spaces/AASAPT/pages/2150563841/Statistics+RLF+holdings>

reporting the RLFs as distinct units, all campuses could cite the collective physical holdings as being part of the collections offered to their local constituents, similar to how shared licensed content is reported.

Shared Print Annual Statistics are collected and managed by the CDL Shared Print program, and the total shared print holdings count is included in the UCL/UCOP annual statistics as an additive figure. This approach does not provide us with a holistic view of our shared print and general/non-shared print collections. Reporting the RLFs as distinct units could provide a roadmap for reconsidering how shared print collections (including campus-based WEST holdings) are reported as part of the UC collective collection.

Further consultation is still required with the RLFs to determine if each facility should run their annual statistics reports, or if one or both RLFs should be incorporated into centralized Network Zone reporting. For SRLF, a small subset of their collection is unbarcoded. Therefore, non-Alma SRLF reporting would be required to capture those unbarcoded materials, though these holdings may also be covered through non-Alma special collections reporting.

Recommendations: Edits to the UCL/UCOP annual statistics for Network Zone implementation

The following recommended approaches and changes were determined through consensus and support the existing local, systemwide and OP uses of the data. The recommendations also reflect ARL and ACRL data requirements where applicable; a summary of UCL/UCOP, ARL and ACRL overlap is provided later in this report. Unless otherwise noted, AASA-PT is responsible for implementing these recommendations for summer 2023 Network Zone reporting.

4. **Revise naming conventions and instructions:** Naming of the UCL/UCOP schedules, data tables and fields will be revised and maintained to achieve shared understanding and clarity. Based on these changes and other edits to UCL/UCOP annual statistics, the accompanying reporting instructions will also be revised; revised instructions will be drafted by CDL, for AASA-PT review and endorsement.
5. **Centralize and then further harmonize data points over time.** For some of the UCL/UCOP data requirements, centralized reporting will be implemented but the report output is not yet harmonized. Because existing statistics requirements and campus needs are met with the centralized-but-not-harmonized approach, UC will wait to carry out further harmonization (pending additional analysis). For example: UC can implement a single, centralized report in Network Zone Alma Analytics for reporting print circulation by user group. User group types in Alma are customizable at the local level, which has led to campus-specific categories with significant overlap. There are clear opportunities to harmonize user group categories and category hierarchies (e.g., undergraduate students, graduate students, faculty, etc.), but this is not a priority for FY22/23 because the OP use case only requires the UC-wide grand total and the libraries do not currently have a systemwide use case.

6. **Exclude unnecessary data points.** Two unused data points are not prioritized for inclusion in Network Zone Alma Analytics reporting:
 - Start of fiscal year totals for holdings¹¹. Totals from the prior year can be used, which was already standard practice in generating the data previously. Notes about changes to reporting or cataloging can be included.
 - Electronic reference sources¹² quantity and searches. In the future, UCL/UC annual statistics can be aligned with ACRL to include a total count for *databases*. This work can be completed when AASA-PT harmonizes ACRL reporting.
7. **Use a standard Alma Analytics data source for categories; stop manual counts for in-scope data.** Where UCL/UCOP annual statistics include reporting by material category (e.g., Volume, Serial, etc.), UC will generate this data from Alma Analytics and use the Resource Type field in Alma for both physical and electronic materials. This offers a consistent, shared set of types across the campuses, negates the need for immediate clean-up because the categories are automatically constructed from standard MARC fields, and allows UC to stop maintaining manual counts.
8. **Use a standard data source for dates:** Date-based reporting in the Network Zone should utilize Item Creation Date for physical holdings and Activation Date for electronic holdings.
9. **Report useful subtotals:** Reporting of combined totals will include distinct subtotals where possible and of value to statistics users, including reporting physical and electronic holdings as distinct counts. For example, total volumes will include distinct subtotals for e-Books and print volumes, and electronic demand/patron-driven holdings will be reported separately so that each campus may determine how to best report these.
10. **Choose an approach to RLF holdings.** The two best options are *either* reporting by the original depositor (status quo) or RLFs as distinct units. AASA-PT seeks SILS-LG's assistance in determining who the appropriate decision-maker should be for this recommendation.

Overlap with ARL and ACRL statistics

With the UCL/UCOP annual statistics serving as the primary focus, field overlap with ARL and ACRL data obligations was analyzed for standardization. Both ARL and ACRL require statistics that are not captured in UCL/UCOP annual statistics – these will be addressed for a harmonized, centralized approach during a future phase of work.

Volumes. Across all three major reporting obligations (UCL/UCOP, ARL and ACRL), volumes are defined as a single physical unit in accordance with ANSI/NISO Z39.7 definition. This includes monographs, as well as bound serials and scores. For UCL/UCOP and ARL, eBooks are included in the total volume count; for ACRL, eBook title count is requested. UCL/UCOP reporting is focused on holdings, whereas ARL and ACRL request some title-level data.

¹¹ From Schedule A: Report of Holdings

¹² From Schedule F: Digital Resources

Formats and titles. For library materials that fall outside of the volume definition (e.g., micro-formats, audio materials, visual materials, maps, etc.), UCL/UCOP annual statistics has long requested more granularity than ARL and ACRL, with 28 material types. ARL includes non-volumes in its “Titles Held” field (including maps, computers files, etc.), whereas ACRL requests totals for physical media, digital/electronic media, physical serials, and digital/electronic serials.

Unlicensed content. For demand/patron-driven and like access models (D/PDA), as well as records for trials where access might end, the instructions for UCL/UCOP annual statistics have been silent. ACRL asks that these unlicensed D/PDA titles be excluded unless a purchase has been activated, and ARL only counts eBooks “[that] are owned or leased and have been cataloged.. by your library.” Despite these requirements for ARL and ACRL submissions, AASA-PT found that UC campuses vary in whether they include these items in their counts.

Usage and circulation. UCL/UCOP annual statistics does not request any electronic usage data (beyond electronic reference source searches, which AASA-PT recommends UC discontinue), but print circulation by user categories is collected. ARL and ACRL both request print circulation, though do not require this data by user group and actively exclude renewals (initial circulations only). ARL also excludes reserves whereas ACRL actively includes reserves. In-house use is either excluded or silent for ARL and ACRL.

Because of the differences across UCL/UCOP, ARL and ACRL, the recommendation to include useful subtotals will allow UC campuses to easily use the applicable UCL/UCOP data outputs for ARL and ACRL without reverse engineering or local report creation.

Remaining work for UCL/UCOP annual statistics (FY 22/23)

The UCL/UCOP annual statistics prototype that accompanies this report (see Appendix C) currently implements most but not all of these recommendations. The AASA-PT are still finalizing how to best apply specific parameters to exclude or isolate specific data components (e.g., for special collections and archives, print course reserve circulation, unlicensed content D/PDA, and campus-specific data groupings - such as to isolate law libraries, health libraries and affiliates, where applicable). The AASA-PT has established baseline targets to support reporting FY22/23 data this summer; more ambitious UCL/UCOP annual statistics goals can be pursued in future years.

The formatting and presentation of the prototype and Summer 2023 reporting represent a baseline. AASA-PT anticipates at least some iteration and query refinement after the 22/23 reporting period, to support reporting in Summer 2024 and better meet campus and systemwide needs. This iterative work should include further assessment and co-development.

Future directions

As reflected in this report, AASA-PT has initially focused on the UCL/UCOP annual statistics for Summer 2023 reporting. The project team will next review ARL and ACRL data submissions, to develop a timeline and plan for further harmonizing and centralizing those reports. While carrying out this initial work,

broader opportunities to collaborate on and expand centralized, systemwide reporting became readily apparent.

Recommendation: Next steps and future directions

11. **Revise AASA-PT charge to include iteration and future improvements.** The project team will propose revisions to its charge, to be submitted to SILS-LG for endorsement no later than August 2023. The revised charge will include:

- Updated timeline for harmonizing and centralizing shared reporting obligations for ARL, ACRL/IPEDS and CEAL;
- Assessment activities following the 22/23 reporting cycle: to evaluate centralized approaches, pursue iteration and refinements to the underlying reporting queries as needed, and identify and advance opportunities to further harmonize;
- Responsibility to consider and propose potential principles and processes to support UC data sharing and access that enables the libraries to innovate and best take advantage of the UC Libraries' shared enterprise system;
- Responsibility to propose a charge for a subsequent team, to commence once the AASA-PT completes its work, to support ongoing coordination and further iteration of existing reporting obligations, and co-develop new, impactful centralized reports to expand data-based decision-making locally and systemwide. Some reporting responsibilities will remain local for the foreseeable future.

Appendices

Appendix A: Alma Annual Statistics Analytics Project Team charge and roster

Introduction

Currently there is no centralized group focused on analytics and harmonization possibilities to more efficiently gather systemwide annual statistics for UCOP, ARL, or IPEDS reporting. One of the SILS principles is to transform and improve library work practices by harmonizing where we can to take full advantage of current opportunities within SILS. Alma has the potential to offer robust analytics and reporting.

There is an urgency to form such a group now. We have a greater opportunity to improve statistics reporting - both what we collect and how we report it. The infrastructure and workflows within Alma should be researched and analyzed in order to take advantage of opportunities for harmonization and efficiencies starting with the 2022/2023 academic year.

Shared principles for streamlining annual statistics through the SILS:

1. We seek to reduce unnecessary manual and duplicative work.
2. We acknowledge that annual data submissions (whether to a third party or UCL/OP) will continue to require ownership by each campus and involve non-Alma data that is outside of the project team's scope.
3. We seek to harmonize how we count and report Alma data for annual statistics (in other words, we will seek alignment and to count the same things in the same ways). UC is committed to use the same reporting/data definitions for all reports.
4. We view this work as transformational, and a step towards further change and improved data insights through the SILS/Alma.
5. We affirm that this project's investigation and technical implementation will likely result in our statistics (i.e., our counts) looking different from prior years, particularly if we successfully realize our shared principles.

Charge and Core Responsibilities

- Review and document what annual SILS systemwide statistics need to be reported and how this translates to Alma Analytics.
- Document what is being counted for annual statistics for campuses to determine if any data changes are needed in Alma.
- Recommend what annual statistics should no longer be reported out and why, e.g., no longer of value or not viable to get from Alma.

- Determine what is possible within the current SILS infrastructure for standardized annual reporting for UCOP, ARL, and IPEDS, CEAL (priority order). Including counting and reporting the same thing for all submissions.
- Recommend systemwide analytics harmonization policy, including a centralized reporting and analytics service.
- Test analytics harmonization workflows and output in SILS.
- Establish documentation to guide implementation of harmonized annual analytics reporting in SILS.
- Provide input on determining structure to support the next steps for Alma Analytics across SILS.

Reporting Line

The Alma Annual Statistics Analytics Project Team reports to the SILS Leadership Group.

Related Groups

The group will consult with, engage, and share information and collaborate with other UC Libraries entities including:

- CoUL
- DOC
- SILS Leadership Group
- CDL Operations Center
- SILS Operation Team

Time Commitment and Expectations

- The Project Team will hold weekly meetings to carry out their charge and are expected to spend 5-8 hours of work per month outside of meetings.
- The Task Force will provide regular updates to the SILS LG.
- Recommend and document systemwide SILS analytics workflows in advance of 2022/2023 call for reports.
- Document improvements needed to resolve functionality/time-out issues for Alma Analytics within the SILS infrastructure for 2023/2024 reporting and ongoing
- Deliverables due by May 2023 to be presented to SILS-LG, DOC and CoUL.
- Group will stay available for consultation through the August 2023 statistics cycle.
- SILS Leadership Group to review and evaluate SILS annual statistics analytic reporting structure on an annual basis for possible improvements.

Required Expertise

The task force membership will require knowledge of UC current and historical reporting practices, expertise and knowledge of shared collections, and/or operational expertise in Alma analytics in SILS.

- Representative expertise group including,
 - Existing Systemwide Statistics staff (Danielle)
 - CDL Systemwide Data Analyst (Daisy)
 - CDL NZ Analytics knowledge (Gem)
 - Campus staff who are responsible for generating ILS annual statistics for their campus
 - SILS LG Supporter (Lynne)

Roster

- Ellen Augustiniak, UC Irvine, AASA-PT Chair (Steering Committee)
- Akshay Agrawal, UC Santa Barbara
- Susan Boone , UC San Francisco
- Heather Hernandez, UC San Diego
- Chan Li, UC Berkeley (Steering Committee)
- Alison Lanius, UC Davis
- Daisy Nip, CDL
- Michele Potter, UC Riverside (Steering Committee)
- John Riemer, UCLA
- Sarah Sheets, UC Merced
- Gem Stone-Logan, CDL
- Danielle Watters Westbrook, CDL
- Lisa Wong, UC Santa Cruz

Resources

[SILS principles](#)

[SILS work practices](#) (pages 3 - 9)

Appendix B: Comparison of UCL/UCOP Material Types and Alma Analytics Resource Types

| Current UCL/UCOP Material Types | Alma Analytics Resource Types (print and electronic) |
|--|--|
| Volumes | 2D non-projectable graphic - Electronic |
| Serial titles received currently - purchased | 2D non-projectable graphic - Physical |
| Serial titles received currently - not purchased | 2D non-projectable graphic – Component Part |
| Personal manuscripts | 3D artifact - Physical |
| UC archival manuscripts | Atlas - Electronic |
| Other archival materials | Atlas - Physical |
| Maps | Audio musical - Electronic |
| Microfilm reels | Audio musical - Physical |
| Microcards | Audio nonmusical - Electronic |
| Microfiche | Audio nonmusical - Physical |
| Microprints | Audio nonmusical – Component Part |
| Pamphlets | Book - Electronic |
| Government documents | Book - Physical |
| Audiocassettes | Braille Book - Physical |
| Audioreels | Braille Map - Physical |
| Compact discs, digital audio | Braille Music - Physical |
| Videotapes | Braille Serial - Physical |
| Videodiscs | Collection |
| Mult-media kits | Journal (Ceased publication) - Electronic |
| Motion pictures | Journal (Ceased publication) - Physical |
| Filmstrips | Journal - Electronic |
| Pictorial items | Journal - Physical |
| 35mm slides | Kit - Physical |
| Computer tapes | Manuscript – Component Part |
| Monographic CD-ROM discs | Manuscripts - Electronic |
| Serial CD-ROM discs | Manuscripts - Physical |
| Floppy disks | Map - Electronic |
| | Map - Microfiche |
| | Map - Microfilm |
| | Map - Microopaque |
| | Map - Physical |

| | |
|--|--|
| | Map – Component Part |
| | Microforms |
| | Monographic component part - Electronic |
| | Monographic component part - Physical |
| | Music – Component Part |
| | Newspaper (Ceased publication) - Electronic |
| | Newspaper (Ceased publication) - Physical |
| | Newspaper - Electronic |
| | Newspaper - Physical |
| | Notated music - Electronic |
| | Notated music - Physical |
| | Other Serial (Ceased publication) - Electronic |
| | Other Serial (Ceased publication) - Physical |
| | Other Serial - Electronic |
| | Other Serial - Physical |
| | Other material - Electronic |
| | Projected media – Component Part |
| | Projected medium - Electronic |
| | Projected medium - Physical |
| | Serial component part - Physical |
| | Undefined |
| | Unknown |

Appendix C: UCL/UCOP annual statistics prototype, reflecting most AASA-PT recommendations

At the time of this report being submitted to SILS-LG, the AASA-PT is finalizing how to best apply specific parameters to exclude and/or isolate select data components (e.g., for special collections and archives, print course reserve circulation, D/PDA, and campus-specific data groupings - such as to isolate law libraries, health libraries and affiliates, where applicable).

The formatting and presentation of the UCL/UCOP annual statistics prototype and Summer 2023 reporting represents a baseline - further refinements are planned through assessment and co-development.

Link (google spreadsheet) to UCL/UCOP annual statistics prototype for 22/23 reporting:

<https://docs.google.com/spreadsheets/d/1IBV9tKyvO3xq-UZeuLoeEViSmBwgp2YO/edit?usp=sharing&ouid=117774353520272561086&rtpof=true&sd=true>