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Information and documentation — Library performance indicators

AMENDMENT 1: Additional performance indicators for libraries

*Information et documentation — Indicateurs de performance des
bibliothèques*

*AMENDEMENT 1: Indicateurs complémentaires de performance des
bibliothèques*



Reference number
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Foreword

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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.

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.

Amendment 1 to ISO 11620:1998 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 8, *Quality — Statistics and performance evaluation*.

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Introduction

When ISO 11620 was being compiled, a large number of performance indicators were considered for adoption. Some were excluded because they did not meet the criteria for inclusion; others because they were suggested too late for the standardization processes to be applied. The Working Group that was established to keep the standard under review has now considered the indicators that were submitted too late, and has standardized a further five indicators. This Amendment therefore includes revised definitions and a new term in clause 3, and additions in annexes A, B and C.

ISO 11620:1998 contains no indicators specific to the electronic library context. Although a number of such indicators have now been proposed and tested, none of these yet seems ready for inclusion in an International Standard. Accordingly, this Amendment includes no indicators for electronic libraries. Instead, a Technical Report is being prepared for early publication. This Technical Report will provide a standardized terminology and concise definitions and descriptions of a selection of performance indicators, in the same format as that used in ISO 11620.

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Information and documentation — Library performance indicators

AMENDMENT 1: Additional performance indicators for libraries

Page 1, clause 2, Normative reference

Replace ISO 2789:1991 with ISO 2789:—¹).

Change the original footnote reference ¹) to ²).

Page 1, Footnote

Add the following new footnote before original footnote 1):

1) To be published. (Revision of ISO 2789:1991)

Renumber footnote 1) as footnote 2).

Page 2, clause 3, Definitions

Make the following changes.

Definition 3.3 (availability)

Replace the term “documents” with the term “materials”.

Definition 3.4 (document)

Replace the definition *with the following definition and notes*:
recorded information which can be treated as a unit in a documentation process
(French term: document)

NOTE 1 Adapted from ISO 5127:2001, definition 1.2.02.

NOTE 2 Documents may differ in their physical form and characteristics.

Definition 3.8 (facilities)

Replace the existing note with the following notes:

NOTE 1 Excludes facilities such as toilets, cafés and public telephones.

NOTE 2 Examples of facilities are photocopiers, online terminals, CD-ROM workstations, seats for reading and study carrels.

Definition 3.10 (indicator)

Delete the end:

“, and the associated method”

Definition 3.11 (library)

Replace the existing definition and notes with the following:
organization, or part of an organization, the main aims of which are to build and maintain a collection and to facilitate the use of such information resources and facilities as are required to meet the informational,

research, educational, cultural or recreational needs of its users
(French term: bibliothèque)

NOTE 1 These are the basic requirements for a library and do not exclude any additional resources and services incidental to its main purpose.

NOTE 2 Where a library has more than one function (e.g. school library and public library), it must either decide what is its primary function or, in extreme cases, must divide its functionalities and report data accordingly.

[ISO 2789:—¹], definition 3.1.5]

Definition 3.12 (loan)

Replace the existing definition and note with the following:

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)

(French term: prêt)

NOTE 1 Loans include user-initiated renewals as well as registered loans within the library (on-site loans). Renewals should 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:—²], definition 3.3.11]

Definition 3.16 (performance indicator)

Replace the existing definition and note with the following:

numerical or verbal expression (derived from library statistics and other data) used to characterize the performance of a library

(French term: indicateur de performance)

NOTE Includes both simple counts and ratios between numbers.

Definition 3.18 (quality)

Replace the existing definition with the following:

totality of characteristics of an entity that bear on its ability to satisfy stated and implied needs

(French term: qualité)

Definition 3.19 (recurrent expenditure)

Replace the existing definition and note with the following:

money spent on staff, and on resources which are used and replaced regularly

(French term: dépense ordinaire)

NOTE 1 Excludes capital expenditure such as main capital items, new buildings, extensions or modifications to existing buildings and computer equipment.

NOTE 2 Recurrent expenditure is calculated in various ways in different institutions, authorities and countries, and it does not seem possible to prescribe only one way of doing it. Calculation will have to be done according to normal practice in the context where this measure is applied. This also means that comparisons are only valid, when calculations are done according to the same principles.

Recurrent expenditure normally includes: salaries and wages (including employee benefits, social costs, etc.), costs of acquiring documents for the collection, administrative costs, maintenance of buildings, collections, etc., rental costs or depreciation costs of buildings and equipment, and other operating expenses (heating, lighting, electricity, etc.).

1) To be published.

2) To be published.

Value-added taxes, sales and service taxes or other local taxes are normally included, unless an indicator is used for international comparisons.

Definition 3.23 (title)

Replace the existing definition and note with the following:

words at the head of a document thus identifying it and normally distinguishing it from others
(French term: titre)

[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.

Definition 3.24 (user)

Add the following note:

NOTE The recipient can be a person or an institution.

Add one final new term as follows:

3.26

library collection

all documents provided by a library for its users

(French term: collection)

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

NOTE 2 Access rights may 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 OPAC 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 OPAC or a database should be counted separately.

[ISO 2789:—³⁾, definition 3.2.17]

3) To be published.

Page 10, Table A.1

Add the following rubrics under "Providing documents", after performance indicator "Document Use Rate".

	Proportion of Stock Not Used	B.2.2.7
	Shelving Accuracy	B.2.2.8

Page 11, Table A.1

Add the following rubric under "Lending documents" after "Loans per Employee"

	Proportion of Stock on Loan	B.2.4.6
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Page 11, Table A.1

In column 1, replace "Availability and use of human resources" with "User services". In this rubric, replace the mention "No indicator described in this International Standard", with the following performance indicators:

	User Services Staff per Capita	B.5.1.1
	User Services Staff as a Percentage of Total Staff	B.5.1.2

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Page 12

Renumber the note at the beginning of the annex as note 2, and add the following note

NOTE 1 In the Methods subclause of some of the following descriptions of indicators in this International Standard the phrase "draw a representative (random) sample" is included. Wherever this phrase is, it should be interpreted to mean that a random sample should be drawn so that it will be representative of the population. Standard works on statistical methods should be used for guidance on how to draw samples.

Page 29, B.2.2

In fine, add the following subclauses B.2.2.7 and B.2.2.8.

B.2.2.7 Percentage of Stock Not Used

B.2.2.7.1 Objective

To assess the amount of stock not used during a specified period.

B.2.2.7.2 Scope

All libraries.

May be used for specified collections, subject areas, branches or time periods.

Within each of these categories, the resulting indicators may be compared to see whether the percentage of items not used differs significantly.

B.2.2.7.3 Definition of the indicator

The percentage of physical items in stock not used during a specified period (rounded off to the nearest integer).

Used means, for the purpose of this indicator, that an item has been recorded as having been on loan, or has otherwise been registered as having been used in the library during the specified time period. In-house use is included only when a library records it on a continuous basis.

The period used for measurement is fixed by the user of the indicator. This should be done in a way that reflects the mission and policies of the library. In general, a period of one year is the minimum appropriate.

B.2.2.7.4 Methods

- a) Draw a representative (random) sample of items owned by the library. For each item in the sample, record whether that item has been borrowed during the specified time period, or otherwise registered as having been used in the library.

The Percentage of Stock Not Used is

$$\frac{C - A - B}{C} \times 100 \%$$

where

A is the number of items in the sample which have been borrowed;

B is the number of items in the sample which have been registered as used in the library and not borrowed;

C is the total number of items in the sample.

Round off to the nearest integer.

- b) Using the records from a computerized issue system, count the number of items which have been on loan during the specified time period.

The Percentage of Stock Not Used is

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

where

A is the number of items which have been on loan;

B is the total number of items in the loan stock.

Round off to the nearest integer.

This second method overestimates the true rate, since it does not include data on items which have been used in the library, but not borrowed.

B.2.2.7.5 Interpretation and factors affecting the indicator

The indicator is an integer between 0 and 100. It estimates the probability that a randomly selected document owned by the library has not been used during the specified time period. A high score means a low rate of use.

The indicator is affected by several factors, including:

- the mission of the library, for example whether the library has an archival mission or not;
- the promotional activities of the library;
- the acquisition and weeding policies and practices in the library.

B.2.2.7.6 Source (see annex C)

[20] pp. 36-39.

B.2.2.7.7 Related indicators

Collection Turnover. Document Use Rate.

B.2.2.8 Shelving Accuracy

B.2.2.8.1 Objective

To assess to what extent documents that are recorded in the library's catalogue are in their correct place on the shelves.

B.2.2.8.2 Scope

All libraries.

May be used for specified collections, subject areas or branch libraries. For each specified area within the library, the resulting indicators may be compared to see if the rate of accuracy differs significantly.

Comparisons between libraries may be possible if differences in storage and frequency of use are taken into consideration.

B.2.2.8.3 Definition of the indicator

The percentage of documents recorded in the library's catalogue that are in their correct place on the shelves at the time of investigation.

Documents whose absence is accounted for in the library's records, e.g. by being on loan, taken out for bookbinding or noted as missing, are not included in the sample.

B.2.2.8.4 Methods

- a) Check a representative sample of shelves with the help of a shelf-list. Record for each document in the list whether it is shelved correctly. For all missing documents, check whether their absence is accounted for in the library's records.

In free-access areas, the shelves should be checked out of opening times in order to include documents that have been in in-house use. Documents awaiting shelving should be reshelved before counting.

The Shelving Accuracy is

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

where

A is the number of documents correctly shelved;

B is the total number of documents in the sample.

(Excluding those whose absence is accounted for in the library's records.)

Round off to the nearest integer.

NOTE The number of missing documents comprises both documents that have been misplaced and those that have been stolen, if the latter have not been noted as missing in the library's records. This assumes that correct shelving implies frequent shelf-reading so that losses get noted at an early stage.

- b) Check a representative sample of shelves in the collection. Record all documents that are found in the wrong place, irrespective of their being misplaced near to or far from their correct position. In free access areas, the shelves should be checked out of opening times in order to include documents that have been in in-house use.

The Shelving Accuracy is

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

where

A is the total number of documents on the shelves at the time of investigation;

B is the number of misplaced documents on the shelves.

Round off to the nearest integer.

NOTE As an estimate, the simpler method b) could be sufficient.

B.2.2.8.5 Interpretation and factors affecting the indicators

The indicator is an integer between 0 and 100. A high score means high Shelving Accuracy. The Shelving Accuracy is affected by several factors. The most important are:

- the frequency of shelf-reading;
- the speed of reshelving.

The indicator could also point to the classification or other shelf-location system not being transparent and easy to use or to the need for a security system.

For libraries, with part of their collection in closed stacks, and part in free access, or where use varies much between parts of the collection, Shelving Accuracy should be assessed for the different parts of the collection separately, as documents in free-access areas and in frequent use will be much more liable to misshelving.

B.2.2.8.6 Sources (see annex C)

[20] pp. 129-146 ("shelf availability"; includes shelf accuracy in the context of an availability study).

[30]

B.2.2.8.7 Related indicators

Titles Availability. Required Titles Availability.

Page 37, B.2.4

In fine, add the following subclause B.2.4.6.

B.2.4.6 Percentage of Stock on Loan

B.2.4.6.1 Objective

To assess the overall rate of use of the loan collection at a specified point in time.

B.2.4.6.2 Scope

All libraries with a loan collection.

May be used with specified collections, subject areas or branches. Within each of these categories, the resulting indicators may be compared to see if the rate differs significantly.

May be used for comparing libraries with the same mission, if measured at typical times of year during average levels of activity.

B.2.4.6.3 Definition of the indicator

The number of documents on loan at a specified point in time, expressed as a percentage of the total number of documents in the loan collection, and rounded off to one decimal point.

B.2.4.6.4 Method

Count the number of documents in the loan collection that are recorded as on loan on a specified day during the year. Estimate the number, on that day, of documents in the collection.

The Percentage of Stock on Loan is

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

where

A is the number of documents on loan;

B is the total number of documents in the loan collection.

Round off to one decimal place.

B.2.4.6.5 Interpretation and factors influencing the indicator

The indicator is a real number between 0 and 100. The normal range will depend on the type of library. A high percentage may indicate that there is a poor choice of stock for the reader at the shelves. A low percentage may indicate that stocks are unnecessarily high. The indicator is affected by the acquisitions policy, the weeding policy and the length of the loan period.

B.2.4.6.6 Source (see annex C)

[24] p. 109 ("Proportion of items on loan").

B.2.4.6.7 Related indicators

Document Use Rate. Collection Turnover. Titles Availability.

Page 54, B.5

Replace the existing clause B.5 with the following.

B.5 User Services

B.5.1.1 User Services Staff per Capita

B.5.1.1.1 Objective

To identify the number of employees directly serving users per member of the population to be served.

B.5.1.1.2 Scope

All libraries, except those with significant numbers of external users.

May be used for comparing libraries with the same mission and similar clientele, provided that the same method of measurement has been used.

B.5.1.1.3 Definition

The ratio of the number of full-time equivalent staff directly serving users to the population to be served.

The number of staff is measured in full-time equivalents.

User Services includes the following functions: lending, reference, interlibrary lending, user education, photocopying, shelving and retrieving items.

B.5.1.1.4 Methods

- a) Choose a sampling period (normally one or two weeks) during which the library experiences average levels of use. Record the times during which each member of staff is providing direct services to the users. Estimate the population to be served at the time of the survey.

The User Services Staff per Capita is

$$\frac{A}{B \times C \times D}$$

where

- A* is the total time spent is serving users;
- B* is the number of weeks of the survey;
- C* is the average working week;
- D* is the population to be served.

- b) For a given budget period, determine the number of full-time-equivalent positions directly assigned to user services.

Use the number of full-time-equivalent employee positions, including an estimate of the proportion of time spent by dual-responsibility staff on user services.

Calculate the number of posts of full time employees on the basis of staff records. Full-time employees who have worked for a full year count as one. Full-time employees who have worked for part of the year are each counted as the proportion of the year that they have worked (expressed as a decimal number with two decimal places). Part-time employees are each counted by multiplying the fraction of time assigned by the fraction of the year worked (both expressed as decimal numbers with two decimal places).

For the same budget period, estimate the population to be served.

The User Services Staff per Capita is

$$\frac{A}{B}$$

where:

- A* is the number of full-time-equivalent employees assigned directly to user services;
- B* is the population to be served.

This second method should be accurate enough for most purposes.

B.5.1.1.5 Interpretation and factors affecting the indicator

This indicator should only be used in conjunction with indicators of quality such as Correct Answer Fill Rate. The indicator is a number with no top limit.

The indicator is affected by

- the mission of the library;
- the promotional activities;