ENUMERATE

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and Guidance Material

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Introduction

The success of the *ENUMERATE* project depends on a large group of people: the consortium, the national coordinators, the respondents and many others. To make sure all the processes run smoothly, guidance is required in all aspects of the project. At the early stages of the *ENUMERATE* project, we created a set of guidance materials that was created and disseminated through the *ENUMERATE* website and other channels. These guidance materials included overviews of tools that could support various stakeholders of the *ENUMERATE* surveys, such as vocabulary lists and cost models.

While preparing Core Survey 2, the National Coordinators indicated that they needed more precise guidance on how they, individually, could contribute to this *ENUMERATE* Survey, which will be organised along slightly different lines than Core Survey 1. This deliverable, the final version of the *Documentation and Guidance Materials*, addresses the National Coordinators directly in order to provide them with in-depth and practical information that is needed as part of the preparation of *ENUMERATE* Core Survey 2, which will run from September until November 2013.

The tools that were created earlier in the project remain available on www.enumerate.eu/en/guidance. On this page, we will also publish additional examples of letters, calls to participate or other tools while the Survey runs, as needs occur.

1   Guide to Managing the *ENUMERATE* Core Survey 2

In September 2013 the *ENUMERATE* Thematic Network will implement Core Survey 2, to determine the status of digitisation in EU member states. As a piece of research it is a follow-up to *ENUMERATE*'s Core Survey 1 (2012) and the *NUMERIC* survey conducted in 2008. For this operation to be successful we depend very much on the cooperation of you as a National Coordinator. This document offers guidelines for optimal results of the *ENUMERATE* Core Survey 2 implementation in your country*. The activities are summarised in the table on page 5 and are discussed in more detail in the subsequent paragraphs.

* Please note that the latest version of this guide will be available at the ENUMERATE website. See: *http://www.enumerate.eu/en/guidance/*

This Guide contains the following subjects:

1.   About the ENUMERATE Core Survey 2: objectives, the team, the role of the national coordinators, definitions, procedure of the Core Survey

2.   Announcing the Core Survey, responding to questions, response rate

3.   An overview of the Activities of the National Coordinators

4.   Reaching institutions through alternative channels en further information

5.   Determining the size and composition of the heritage domain in your country

6.   Target sizes for the EU member states

7.   Compiling lists of institutions in each EU member state

8.   Appendix: Covering letter

2 About the *ENUMERATE* Core Survey 2

2.1 Objectives of the *ENUMERATE* Core Survey 2

- Gather general statistical information and build a baseline of data on the state of digitisation in museums, archives and libraries in the EU.
- Understand the progress that has been made in the EU since the *ENUMERATE* Core Survey 1 and the NUMERIC survey.
- Achieve a situation where informed decisions about national and EU policies are possible.
- Help the memory institutions in measuring their progress in the field of digitising heritage materials and in making decisions of a practical nature.

2.2 The *ENUMERATE* Team

The *ENUMERATE* Team coordinating the survey consists of PANTEIA (enumerate@panteia.nl), DIGIBIS (enumerate-admin@digibis.com) and DEN (gerhard.jan.nauta@den.nl)

PANTEIA and DIGIBIS are responsible for the technical implementation and DEN is responsible for methodological issues. Collections Trust in the UK is responsible for overall project management and Stiftung Preussischer Kulturbesitz (SPK) in Berlin is the main contact in communication issues. For further details refer to the *ENUMERATE* website: http://enumerate.eu/

2.3 Your role as a National Coordinator

In previous communications - notably the Charter of the National Coordinators in *ENUMERATE*: http://www.enumerate.eu/fileadmin/*ENUMERATE*/documents/CharterNationalCoordinators-*ENUMERATE*-v20110715-draft.pdf - it was indicated that broadly speaking these are the activities for the National Coordinators:

- Identify institutions to generate an appropriate contribution from their country.

- Fine tune *ENUMERATE* tools to national circumstances, if needed (e.g. translation of survey tools).

- Persuade the identified institutions to respond; be available for questions etc.

- Monitor the survey process; check national data for abnormalities; comment on outcomes.

2.4 Defining the cultural heritage domain in the context of *ENUMERATE*

As indicated above, the population of the *ENUMERATE* surveys consists of the European memory institutions (museums, libraries, archives/records offices, audio-visual and film institutes, institutes with curatorial care for monuments and sites, and some other/hybrid types of organisations). The criterion is here that curatorial care for (part of) the collections of the institution are included in its mission. Institutions that do not hold heritage collections or that have collections of heritage materials (like for example of books, films, music, etc.) to be lend by or sold to contemporary users without the explicit task of safeguarding the collections for future generations, will not be included in the survey. This essentially leaves out both school libraries (which were not taken into consideration by NUMERIC either) and public libraries without cultural heritage collections.

2.5 The Core Survey Procedure

The Core Surveys are intended to collect high-level statistics on digitisation of cultural heritage in all EU member states. For this reason target numbers of memory institutions in the different countries will be asked to respond. Core Survey 1 was an open survey. Core Survey 2 is a follow-up of Core Survey 1 but it will be organised in a different manner. The ambition is to raise the quality of the results of the first survey in two ways:

- First the questionnaire and related definitions and classifications will be improved where necessary, while at the same time securing the comparability of the series;
- Second, the aim is to achieve better representativeness per country and for the EU heritage domain as a whole by both raising the participation for each individual EU member state and fine-tuning sampling procedures to national circumstances.

As in Core Survey 1 the involvement of the national coordinators is essential to the success of the survey.

In Core Survey 1 it turned out that to identify possible respondents (memory institutions) was an easy job in certain countries and a hard one in others. This made it difficult to find a one fit for all sampling approach. Therefore it was decided to use three levels of involvement, three sampling scenarios: Gold, Silver, and Bronze. The scenarios differ in the way the population is covered:

1. Contact details for the whole population of (all types of) memory institutions are available. All institutions are invited to participate (**Gold**).
2. At best contact details for memory institutions in only some types of institutions (e.g. Archives) are available. For the other types maximally representative samples must be constructed, e.g. by procedures like selecting every n-th organisation on a list of memory institutions or making the best of ad hoc collecting contact details (**Silver**). In this scenario the *ENUMERATE* team will offer guidance to the national coordinators in constructing lists of contact details.
3. A fully open call to participate is made on various different platforms (**Bronze**). (In this scenario the National Coordinator is still essential in announcing the survey and collecting the contact details of institutes that sign up.) Here too the *ENUMERATE* team can offer assistance.

Whatever the scenario chosen in a particular country, the *ENUMERATE* team will strive for reusing the available contact details of respondents in earlier EU funded surveys (NUMERIC, Core Survey 1, Thematic Survey). In the Gold scenario these earlier respondents will be addressed by default. In the Silver and Bronze scenarios the *ENUMERATE* team will compile a basic file and the national coordinators will be asked to check whether these addresses are still valid.

Opting for either the Gold, Silver or Bronze scenario is not necessarily related to realising representativeness of survey results per EU member state. Although it is highly unlikely, we might invite all memory institutions in a particular country to do the core survey and yet get zero response. This is where the role of the national coordinators becomes decisive. That being said we may cautiously state that the benefits of opting for Gold are potentially more advantageous than opting for one of the other scenarios:

- In a country opting for Gold it will be easier to draw statistically valid conclusions at the level of the broad heritage domains: archives, AV institutes, film institutes, libraries, museums, institutes for monument care. For example: in the Gold scenario it may be possible to conclude that monitoring the actual use of digital collections for a specific country is more common in e.g. museums than it is in film institutes.
- In countries where the Bronze scenario is chosen, data collected may help in establishing an overall picture of digital heritage collections in the EU, but it will be improbable that one can do reliable statements about the national state of affairs.

The survey questionnaire - originally developed in English - will be available in an online survey environment, maintained by the Dutch company Panteia. The *ENUMERATE* website (www.enumerate.eu/) provides an up-to-date link to the online questionnaire.

Many countries indicated that a translation in their native language would boost survey response rates. The translation process was started in August 2013. Translated survey questionnaires will be available in the *ENUMERATE* survey platform (beside the English version the questionnaire will be available in 10 other languages).

3 Announcing the Core Survey, responding to questions, boosting response rate

3.1 Announcing the Core Survey

The intention is to complete the lists of institutions (see for more information page 12) to be invited during the month of September 2013. Lists of addresses can be sent to **enumerate@panteia.nl**

The Core Survey 2 will be launched in mid-September 2013.

ENUMERATE data partner PANTEIA will send invitations from a central contact database.

The full survey will run until November 30th 2013

3.2 Responding to questions and other communications during the survey period

During the survey period (which ends end of November 2013) the National Coordinators are expected to be available to answer queries about the questionnaire via e-mail and to refer to the *ENUMERATE* Team if necessary.

Survey responses need to be scrutinised and queries raised with the responding institution accordingly. E-mails raising such queries will be copied to the National Coordinator if the *ENUMERATE* Team needs help, particularly for translation / interpretation purposes.

It will be necessary to make a request of the responding institutions to allow the *ENUMERATE* thematic network to share their data with the relevant professional bodies and national Ministries / Statistical Offices, so as to minimise the potential receipt of repeat requests to participate in other similar surveys. (The example letter - see the Appendices - includes a statement to this effect.)

3.3 Boosting response rate

Throughout the survey duration, the *ENUMERATE* Team will periodically send to each National Coordinator the data received to that date from their countries' institutions in Excel format, so that they can inspect which institutions have already responded and send reminders to those that have not.

4   An overview of the Activities of the National Coordinators

The activities and timings of activities, described below are suggestions which may be varied with the national situations. For example, some countries will not have to translate the survey and therefore they can move on to later activities earlier.

Activity	Start date	Due date	Actor
Survey Preparation			
Determining the size and composition of the heritage domain in each country	25/05/2012	30/06/2013	National Coordinators
Translating the questionnaire	15/08/2013	31/08/2013	National Coordinators, *ENUMERATE* Team
Preparing the Invitations			
Drawing up lists of institutions per EU member state	15/07/2013	14/09/2013	National Coordinators
Providing the *ENUMERATE* Team with copies of the lists of invited institutions	-	14/09/2013	National Coordinators
Managing the Survey			
Announcing the Core Survey and refer to the online questionnaire	15/09/2013	15/09/2013	*ENUMERATE* Team
Reaching institutions through alternative channels	15/09/2013	30/11/2013	National Coordinators, *ENUMERATE* Team
Responding to queries from the institutions and other communications	01/10/2013	30/11/2013	National Coordinators, *ENUMERATE* Team
Boosting response rate / urging institutions to respond	01/10/2013	30/11/2013	National Coordinators, *ENUMERATE* Team
Expiration of time to respond	-	30/11/2013	(Respondents)
Analysis and Reporting			
Collecting and analysing returned questionnaires / Core Survey 2 Report	01/12/2013	15/01/2014	*ENUMERATE* Team, Data Partner (Contractor)

5   Reaching institutions through alternative channels

If for parts of the heritage domain in your country substantial lists of institutions are not easily available, the alternative way to reach institutions is through the channels that are locally available. In many countries national types of council of museums, libraries and archives do exist, and these usually have professional communication channels in place. Other options are the use of mailing lists of professional organisations, newsletters, and of course social media (i.e. Linkedin, Twitter, Facebook).

During the survey period the *ENUMERATE* Team will collect examples of reaching the national heritage domain through these alternative communication channels. Examples will be published on the *ENUMERATE* website: http://www.enumerate.eu/en/guidance/

In order to avoid a situation where in one and the same institution different individuals will be approached, with the associated risk of a duplication of work, in both the example invitation letter for directly addressing individuals in institutions and the open invitation, we advice the National Coordinators to always stress the recommendation that each institution should appoint one contact person.

6 Determining the size and composition of the heritage domain in your country

Reliable statistics about digital heritage collections can only be produced if we know the size and structure of the universe, i.e. the full population of the field under study. Therefore we need to have an estimate of the number and types of memory institutions (museums, libraries, archives, etc.) for each of the EU member states and we kindly invite the National Coordinators in the EU member states to help us in making that estimate. This is a follow-up of an inventory round prior to the first *ENUMERATE* Core Survey and similar research that was done in the NUMERIC project by way of the so-called "pro forma foundation quota tool", distributed to the National Coordinators in each EU member state (Sheet "A").

In the current set-up National Coordinators are (were) asked to make as good an estimate as they can of the situation in their country, based on the evidence that is available to them. Using one out of three classifications of institution types. (See below.)

It would be extremely useful if National Coordinators could compare their estimate of the situation in their country with the estimate of another expert before submitting the sheet.

To transfer estimates to the *ENUMERATE* Team a new "Sheet A-2013" (filename: *ENUMERATE*_SHEET_A-2013_COUNTRY) was developed. It is available at:

- www.enumerate.eu/en/guidance/ (see: item 2. [version 24/05/2013])

In the NUMERIC project this Sheet "A" was pre-filled with estimates of the size of the various types of heritage domains. The National Coordinators could modify these estimates. In the current set-up National Coordinators are asked to make as good an estimate as they can of the situation in their country, based on the evidence that is available to them. Since the heritage domain is organised slightly different in the various EU countries, we have devised three classification levels (A, B, C) from which one can choose the most appropriate (useful) in a specific country:

A.

    1. Archives/Record Offices

    2. Audio-Visual, Broadcasting or Film Institutions

    3. Libraries

    4. Museums

    5. Institutions for Monument Care

B.

    1. National Archives

    2. Other Archives / Records Offices

    3. Audio-Visual / Broadcasting Institutions

    4. Film Institutions

    5. National Libraries

    6. Higher Education Libraries

    7. Special or Other Types of Libraries

    8. State-owned Museums

    9. Local / Regional Museums

    10. Other Public Museums

    11. Institutions for Monument Care

C.

    1. National Archives

    2. Other Archives / Records Offices

    3. Audio-Visual / Broadcasting Institutions

    4. Film Institutions

5. National Libraries

6. Higher Education Libraries

7. Special or Other Types of Libraries

8. Museums of Art

9. Museums of Archaeology / History

10. Museums of Natural History / Sciences

11. Museums of Science / Technology

12. Museums of Ethnography / Anthropology

13. Institutions for Monument Care

After filling out the sheet a copy of the file can be made where the word 'country' should be replaced with the name of the country (for instance: *ENUMERATE*_SHEET_A-2013_GERMANY.xls). The sheet can be sent to gerhard.jan.nauta@den.nl

7 Target sizes for the EU member states

As was stated above we strive for a selection of institutions in the *ENUMERATE* Core Survey which broadly reflects the cultural heritage domain in the various EU member states. In the NUMERIC survey an intricate, complicated and rather controversial method was developed to constrain the full European heritage sphere to those institutions defined as "relevant". An institution´s relevance, in this case, was dependent on its capacity to "significantly enhance access to the nation's cultural heritage." (Refer to the Numeric Study Report, p. 21-23)

In the *ENUMERATE* Core Surveys we strive for a response of close to 1,500 institutions. It is evident that the size of the heritage domain in the individual countries should have some effect on the target samples per EU member state. Based on previous estimates and various data collected (e.g. from NUMERIC and EuroSTAT) the following target samples were determined in 2011:

Country	*ENUMERATE* sample	Archives / Record Offices	A-V / Film Institutes	Libraries	Museums	Others
Austria	24	4	1	7	6	7
Belgium	38	7	1	10	10	10
Bulgaria	26	5	1	7	7	7
Cyprus	15	3	1	4	4	4
Czech Republic	53	10	1	14	14	14
Denmark	35	6	1	9	9	9
Estonia	15	3	1	4	4	4
Finland	33	6	1	9	9	9
France	127	23	3	34	34	34
Germany	150	27	3	40	40	41
Greece	35	6	1	9	9	9
Hungary	44	8	1	12	12	12
Ireland	15	3	1	4	4	4
Italy	150	27	3	40	40	41
Latvia	15	3	1	4	4	4
Lithuania	22	4	1	6	6	6
Luxembourg	15	3	1	4	4	4

Country	*ENUMERATE* sample	Archives / Record Offices	A-V / Film Institutes	Libraries	Museums	Others
Malta	15	3	1	4	4	4
Netherlands	67	12	1	18	18	18
Poland	125	23	2	33	33	34
Portugal	27	5	1	7	7	7
Romania	46	8	1	12	12	12
Slovakia	25	5	1	7	7	7
Slovenia	15	3	1	4	4	4
Spain	103	19	2	27	27	28
Sweden	38	7	1	10	10	10
UK	150	27	3	40	40	41
	1421	257	35	380	375	385

In the second column are the target totals for the 27 EU member states. The minimum target value is 15. The maximum target value is 150. The columns on the left are *indicative* of the distribution of these target values over the separate heritage domains. Small deviations in the numbers are due to the rounding of numbers and the set minimum value of 1 for each individual cell in the table.

Please note that the figures above are minimum target values of *actual respondents*. They do not refer to the number of invited institutions. We hope these values will be realised without much effort upon the release of the survey, but if survey response turns out to be low, efforts will be necessary to boost response rates. The National Coordinators are in the best position to do so.

The method used to determine the target numbers above are explained in detail in a report entitled: *Methodology Core Survey ENUMERATE* (Deliverable number 2.5, d.d. 31/1/2012). It will soon be available on the *ENUMERATE* Website.

8   Compiling lists of institutions in each EU member state

Overall we strive for a selection of institutions in the *ENUMERATE* Core Survey which broadly reflects the cultural heritage domain in the various EU member states. To ascertain that the maximum number of potential respondents is reached we ask you as a National Coordinator to draw up lists of institutions for the main heritage domains in their country, these being: Archives/record offices; Audio-visual, broadcasting or film institutes; Libraries; Museums; Other types of institution. (See above.)

It is important that these lists cover as much of the heritage domain as possible, both in terms of geographical distribution and size. Proportional numbers of large, medium-sized and small institutions should be included. Furthermore, among the selected institutions both digitising and non-digitising institutions should be represented. This survey is not about the *digitising* institutions alone!

Within the institutions on the lists individuals should be traced to whom an e-mail invitation and details about the online questionnaire can be send. Ideally this should be someone capable of and prepared to answer the questions of the survey. Since the size and organisational structure of memory institutions may vary considerably it will be difficult to establish definite guidelines at this point. To counter this circumstance the *ENUMERATE* Team has phrased the e-mail invitation - see the Appendix - in such a way that the risk of miss addressing is minimized.

The lists to be sent to the *ENUMERATE* Team, ideally in Excel, should cover the following details (as column headings):

Institution type; Name of contact person; E-mail address

If you don't have access to personalised address lists, we advise you to address the management (director, CEO etc.) of the cultural heritage institutions.

Here are some examples of compiling lists *in other than the Gold scenario*:

EXAMPLE 1

A directory of central government and municipal archives is located. In this example, all 100 archives in the directory are listed by regional / county / departmental responsibility. After investigation, you estimate that half of the list could be approached to take part in the survey. The procedure could be to sort all archives alphabetically and then count down this list, selecting every 2nd institution. Or, there are, for example, 28 regions in your country. You incrementally select regions - constantly ensuring a good geographic spread - and include all listed archives from each region until a total of 50 has been reached.

EXAMPLE 2

There does not appear to be a conveniently available list of all museums nationwide. However, a list does exist of museums that participated in an earlier survey on collection mobility. This lists 60 institutions and there is no breakdown of the type of such museums. You decide to address all institutions on the list.

EXAMPLE 3

No central list of higher education libraries exists, but you experience that it is fairly easy to trace libraries in the universities and graduate schools of your country. Since the number of these institutions would amount to 150, you decide that covering 1/3 would be feasible. 50 institutions are selected by examining a map to ensure a good geographic spread across the country.

9 APPENDIX: Example for a covering letter

Dear colleague,

On behalf of the community of archives, libraries and museums we ask you to help us by participating in this survey, a follow-up of the successful *ENUMERATE* Core Survey of 2012.

The survey will gather data about:

- digitisation activity
- the cost of digital collections
- access to digital collections
- the preservation of digital heritage materials

The survey is organised by the EU-funded *ENUMERATE* network, a community of practice in the field of digital cultural heritage. The survey is distributed among thousands of institutions across Europe. Together we can make the case for investments in our digital activities!

We hope that you will be able to complete the survey by <15 November, 2013>, if not sooner.

[LINK TO THE QUESTIONNAIRE]

Please do not hesitate to contact us through the e-mail address listed below if you need more information about the questions or the survey in general.

What you get in return for participating in the survey is the option to compare some indicators for your institution with aggregated data obtained from institutions in your country and the EU as a whole. An example of this can be tested at the *ENUMERATE* Data Platform:

http://enumeratedataplatform.digibis.com/datasets

Data collected will be kept strictly **anonymous** and the information that you share with us will not be published in a way that is traceable to your institution.

Since this *ENUMERATE* Core Survey is widely announced through various channels amongst the European memory institutions and in order to avoid possible duplication of work, we suggest that responding to the survey be communicated with the institutional director. The ideal respondent has generic knowledge about your institutions' digital collections**. If you are not the most suitable person to fill out the questionnaire, please help us and hand it over to this person.**

We thank you in advance for your kind attention and participation,

Best Regards, the *ENUMERATE* Team

enumerate@panteia.nl

More information on the *ENUMERATE* project and its network is available on www.enumerate.eu

The report containing key findings of the 2012 Core Survey can be downloaded from www.enumerate.eu/en/statistics/