Guide to Managing the ENUMERATE Core Survey (version 10 February 2012)*

From January 2012 the ENUMERATE Thematic Network will implement Core Survey 1, on the status of digitisation in EU member states. As a piece of research it is more or less a follow-up to 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 implementation in your country**. The activities are summarised in the table on page 12 and are discussed in more detail in the subsequent paragraphs. Guidance notes for each separate activity start on a fresh page.

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

** *For national coordinators in countries where the English and Spanish versions of the Core Questionnaire and related documents are used, the guidelines are simpler, as these countries can use the versions developed during the test phase in November 2011. Heritage institutions in these countries can contribute to the survey from January 2012 onwards.*

Introduction

Objectives of the ENUMERATE Core Survey

- 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 NUMERIC survey was conducted.
- 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.

The ENUMERATE Team

The ENUMERATE Team coordinating the survey consists of:

DIGIBIS (enumerate-admin@digibis.com) and DEN (gerhard.jan.nauta@den.nl)

DIGIBIS is responsible for the technical implementation and DEN is responsible for methodological issues. DIGIBIS and DEN will be assisted during the actual survey period by a third party Contractor. Contact details for the Contractor will be announced later.

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/

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.

Defining the cultural heritage domain in the context of the ENUMERATE Core Survey

As indicated above, the population of the ENUMERATE survey(s) 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.

The Survey Procedure

The survey is intended to collect high-level statistics on digitisation of cultural heritage in all 27 EU member states. For this reason target numbers of memory institutions in the different countries will be asked to respond.

After extended deliberations it has been decided to make the ENUMERATE Core Survey an open survey. Stakeholders advised against doing a survey based on random sampling - which was the original plan -, since this does assume that in all EU member states there is a full overview of all memory institutions (numbers, names and addresses) available in digital format. This turned out to be not the case.

Irrespective of the chosen methodology, it is essential that we get the largest possible response rate and for this to happen we need to approach as many institutions as possible. Essentially there are three ways to achieve this:

I.   In countries where full or substantial lists of museums, libraries and (audio-visual) archives are available, or where these can be compiled with relative ease, such lists should be collected and used for announcing the survey. All institutions on the list will be invited to do the survey (i.e. no preparatory sampling is needed; specific questions on the survey questionnaire are intended to classify institutions, etc.). This is the preferred mode of operation.

II.   In countries where the above-mentioned lists do not exist or are only partially available, open communication channels will be used to reach as many institutions as possible. Examples of open communication channels are: existing mailing lists, heritage forums, online communities, associations of professionals, etc.

III. In countries where some lists are available or can be compiled with relative ease a combination of I. and II. may be chosen.

The survey questionnaire - originally developed in English - will be available in an online survey environment (using *Lime Survey*), maintained by the Spanish company DIGIBIS, one of the ENUMERATE Thematic Network core partners. The ENUMERATE website (http://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 on December 23rd 2011. Translated survey questionnaires will be available in the ENUMERATE survey platform.

The full survey will run until February 29th 2012.

In English and Spanish speaking countries the survey can already start in January.

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

In order to for us to have statistics for the size and composition of the cultural heritage domain in the EU, please make an estimate of the number of memory institutions (museums, libraries and archives) in your country. This is a follow-up of what in the NUMERIC project was done by way of the so-called "proforma foundation quota tool", distributed to the National Coordinators in each EU member state (Sheet "A").

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 we would like you to make as good an estimate as you can of the situation in your country, based on the evidence that is available to you. Since the heritage domain is organised slightly different in the various EU countries, we have devised three classification levels (A, B, C) from which you can choose the most appropriate (useful) one for your country:

A.
1. Archives/record offices;
2. Audio-visual, broadcasting or film institutes;
3. Libraries;
4. Museums;
5. Other types of institution

B.
1. Archives/records offices;
2. Audio-visual, broadcasting or film institutes;
3. National libraries;
4. Higher education libraries;
5. Public libraries;
6. Special or other types of library;
7. State-owned Museums;
8. Local, Regional Museums;
9. Other Public Museums;
10. Institutions for Monument Care;
11. Other types of institution

C.
1. Archives/records offices;
2. Audio-visual, broadcasting or film institutes;
3. National libraries;
4. Higher education libraries;
5. Public libraries;
6. Special or other types of library;
7. Museums of art;
8. Museums of archaeology, history
9. Museums of anthropology and ethnology;
10. Museums of science, technology;
11. Other types of museum;
12. Institutions for Monument Care;
13. Other types of institution.

(Please note that public libraries are one of the categories under C. although the ENUMERATE consortium does not consider these as belonging to the "memory institutions". School libraries and neighbourhood or small public libraries are not considered here at all.)

It would be extremely useful if you could compare your estimate (for one of the above classifications A, B, C) with the estimate of another expert in your country before submitting your sheet.

To transfer your estimate to the ENUMERATE Team we have developed a new "Sheet A 2012". It can be downloaded from the ENUMERATE website a well.

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 Survey 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:

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 Rep	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
Luxemb	15	3	1	4	4	4
Malta	15	3	1	4	4	4
Netherl	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.

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 your 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 must 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 in such a way that the risk of miss addressing is minimized.

Earlier experience has shown that response rate will be low if invitations are being sent by an international party - ENUMERATE - which is (for the moment) less familiar to the institutions. For that reason it was decided that the distribution of the invitations to the individual heritage institutions is a task for the national coordinators. In the ideal situation the government office responsible for the cultural heritage domain would do the invitation mailing, but that will not be feasible in all member states.

In order to make valid statements in the final analysis and report of the survey about the representativeness of the respondents, if possible, the ENUMERATE team would like to receive the lists you compile to send out the invitations to participate. This is for analysis purposes only. It is not necessary to wait for approval of these lists by the ENUMERATE Team. Distribution of the invitations to participate can start as soon as national lists have been compiled by the national coordinators.

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; Telephone number

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 (slightly adapted from the NUMERIC Survey):

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.

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/

Please help us by mailing any suggestions to: gerhard.jan.nauta@den.nl

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.

Announcing the Core Survey

The National Coordinator is requested to write to the institutions on the list to introduce the survey or to ensure that such a letter is sent by the lead Cultural Ministry / Central Statistical Office / ENUMERATE Team. A draft of such a letter is attached to provide the appropriate information about accessing the questionnaire from the ENUMERATE website, and this template can be adapted, suitably translated and amended to reflect national protocols.

The intention is to complete the lists of institutions to be invited during the month of January 2012 and to contact institutions and ask for their participation as early as possible in February 2012.

It is not necessary to wait for approval of these lists by the ENUMERATE Team. Distribution of the invitations to participate can start as soon as national lists have been compiled by the national coordinators.

(In some countries there may be intermediaries distributing the survey announcements on behalf of the national coordinators. It is evident that under these circumstances it may be impossible to collect lists of addresses.)

Responding to questions from the institutions and other communications during the survey period

During the survey period (which ends 29th February) 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. The covering letter to be sent to the institutions settles the details of this process.

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 study team need 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.)

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.

Mailings will be done approximately weekly and the National Coordinators will receive the full package of submitted data for their country after the survey ends.

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			
Translating the questionnaire	24/12/2011	23/01/2012	National Coordinators, ENUMERATE Team
Determining the size and composition of the heritage domain in each country	10/01/2012	24/01/2012	National Coordinators
Preparing the Invitations			
Drawing up lists of institutions per EU member state	13/01/2012	27/01/2012	National Coordinators
Checking contact details on these lists	20/01/2012	27/01/2012	National Coordinators
Providing the ENUMERATE Team with copies of the lists of invited institutions	-	31/01/2012	National Coordinators
Drafting a covering letter and additional announcement texts	20/01/2012	31/01/2012	National Coordinators. ENUMERATE Team
Managing the Survey			
Announcing the Core Survey and refer to the online questionnaire	01/02/2012	01/02/2012	National Coordinators
Reaching institutions through alternative channels	01/02/2012	15/02/2012	National Coordinators, ENUMERATE Team
Responding to queries from the institutions and other communications	01/02/2012	01/03/2012	National Coordinators, Contractor, ENUMERATE Team
Boosting response rate / urging institutions to respond	22/02/2012	01/03/2012	National Coordinators, Contractor, ENUMERATE Team
Expiration of time to respond	-	01/03/2012	(Respondents)
Analysis and Reporting			
Collecting and analysing returned questionnaires / Core Survey 1 Report	01/03/2012	30/03/2012	ENUMERATE Team, Data Partner (Contractor)

Further information

During the period of survey implementation a frequently asked questions page will be maintained at the ENUMERATE website: http://www.enumerate.eu/en/guidance/

All other separate documents related to the survey - a schema indicating roles and responsibilities, selection tools, covering letters, announcements, reminder messages - will be made available on the ENUMERATE website too.

If you have any questions about the time schedule or the details of this *Guide to Managing the ENUMERATE Core Survey*, please contact:

DIGIBIS (enumerate-admin@digibis.com) or DEN (gerhard.jan.nauta@den.nl)

APPENDICES

Covering Letter

{NOTE: Items shown in <*brackets*> indicate options to insert appropriate wording to suit the approach you decide to adopt in your country.}

<Date>

Dear <Name of Institutional Director>,

It is a matter of mutual importance to cultural institutions such as your own and the national and international heritage communities, to monitor the progress being made towards the digitisation of heritage assets. Information about this can help to inform national policies designed to preserve assets as well as those seeking to widen the opportunities for better access to our cultural heritage.

I am writing to you to ask for your help in responding to the ENUMERATE Core Survey. I fully appreciate the constraints on your time, but would like to emphasise that we also recognise the importance of establishing better measures of the investment required to progress the digitisation of materials making up our heritage. This survey is being sent to a vast selection of institutions throughout the European Union and will also generate useful information in your country.

The results for your own institution will not be published individually, but will help us in establishing an overall estimate in your country and the EU as a whole. We shall, however, be sharing aggregated data with the main professional associations and the European Commission in order to establish a statistical measure of the progress of digitisation efforts.

Below is a link to the online survey. It would be of great help to us if you were willing and able to complete the survey, and help us with any remarks that might clarify the situation in your organisation.

<p align="center">[LINK TO THE QUESTIONNAIRE]</p>

There are 32 questions. It is appreciated that some of the questions we are asking may require some research on your behalf, and accordingly we hope that you will be able to complete the survey by <1 March, 2012>, if not sooner.

Please do not hesitate to contact any of the persons listed below if you have any queries concerning the questions being asked or any other matter relating to this survey.

In anticipation of your kind attention and support, may I thank you in advance,

Yours truly, <xxxxxxxxx>

Please address any enquiries relating to this survey to:

<e-mail address, telephone number and name of National Contact>

More information about the work of ENUMERATE can be found here:

Web: http://www.enumerate.eu/
Twitter: http://twitter.com/#!/EnumerateEU
LinkedIn: http://www.linkedin.com/groups/ENUMERATE-4042570

Alternatively worded Covering Letter

<Date>

Dear colleague,

To memory institutions such as your own and policy makers it is a matter of mutual importance to measure the progress being made towards the digitisation of cultural heritage assets. Information about this can help to inform both your own institutional policies, as well as policies on a national and European level. On behalf of the community of archives, libraries and museums we ask for your help.

This year (2012) the EU-funded and supported ENUMERATE network, a community of practice in the field of digital cultural heritage, led by Collections Trust in the UK, will carry out a short survey across Europe. Several thousands of institutions will take part in the survey. It will be repeated in 2014 and afterwards.

The survey will gather data about the:

•   Digitisation of collections;
•   Costs of digitisation efforts;
•   Access to digitised heritage collections;
•   Preservation of digital heritage materials.

The aggregated results of will be given back to the cultural heritage sector via an open data platform. What you get in return for participating in the survey - apart from the immediate insight you will gain from answering the questions - is the option to compare key performance indicators for your institution with aggregated data obtained from institutions in your country and the EU as a whole.
Below is a link to the online survey. It would be of great help to us if you, or someone else in your institution, were willing and able to complete the survey and help us with any remarks that might clarify the situation in your organisation. Since this ENUMERATE Core Survey is widely announced through various channels amongst the European memory institutions we suggest that - in order to avoid possible duplication of work - responding to the survey be communicated with the institutional director.

There are 32 questions. We estimate that the research time needed to answer the questions will be about 30 minutes, possibly spread over a few days. We hope that you will be able to complete the survey by <1 March, 2012>, if not sooner.

<div align="center">

[LINK TO THE QUESTIONNAIRE]

</div>

Please do not hesitate to contact us through the e-mail address listed below if you have any queries concerning the questions or any other matter relating to this survey.

In anticipation of your kind attention and support, may I thank you in advance,

Yours truly, <xxxxxxxxx>

Please address any enquiries relating to this survey to:

<e-mail address, telephone number and name of National Contact>

More information about the work of ENUMERATE can be found here:

Web: http://www.enumerate.eu/
Twitter: http://twitter.com/#!/EnumerateEU
LinkedIn: http://www.linkedin.com/groups/ENUMERATE-4042570