



**Grant Agreement 270939**

# ***ENUMERATE***

## **Documentation and Guidance Materials**

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## 1 Introduction

This document describes the nature and creation of the guidance materials and the documentation that was created to aid those people working on the survey, with the survey and those completing the survey.

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 a certain level of guidance is required in all aspects of the project. For this purpose a set of guidance materials was created which will be disseminated through the proper channels, as well as appended to the present document. In this document the contents of each of the guidance materials will be briefly described.

For many of the sets of guidance materials those that were used by the NUMERIC project were taken as a foundation, but often the differences between NUMERIC and ENUMERATE called for the creation of a new set of guidance materials. The widely differing nature of each set of guidance materials requires

## 2 Harmonisation and validation tools

As a part of deliverable D2.2 – *Overview of Harmonisation Tools*) an inventory of harmonisation tools was made. This inventory brought together relevant sources regarding terminology, cost models, collection type analyses and guidelines for web statistics.

This document serves two purposes. Firstly, the cost models, collection type analysis tools and the guidelines for web statistics that are catalogued offer respondents means to answer some of the questions in the surveys (i.e. calculate digitisation expenditure). Secondly, the terminology lists that are featured in this document have helped in adapting the NUMERIC terminology to a terminology that is suitable for ENUMERATE.

## 3 Question specific guidance notes

The question specific guidance was created to explain questions to the respondents. The ultimate goal of this document is to ensure that there is only one possible interpretation for each question.

When applicable, the guidance notes from the NUMERIC survey were copied and these were adapted and updated when necessary. For most questions, however, there were no relating notes in the NUMERIC survey and these had to be written specifically for the ENUMERATE survey.

The construction of the guidance notes took place in close coordination with the core survey methodology construction. In this manner the interpretation of the questions by the person creating the guidance notes could easily be checked with those of the persons responsible for the core survey methodology. This proved to be a fruitful and mutually beneficent practice.

The guidance notes are incorporated in the online version of the questionnaire in the form of small pop-up windows that can be opened for each question if desired.

The guidance notes are appended to this document (Appendix 1).

## 4 Definitions

The ENUMERATE list of definitions is largely a direct copy of the list of definitions that was used in the NUMERIC survey. The definitions that are not relevant to the present surveys have been removed and the terminology of the ENUMERATE project (which is nearly identical to that of NUMERIC) was studied closely in order to identify all new terms that were in need of clarification in a definition list.

When possible, the definitions for the terms that needed clarification were taken from the terminology sources that were catalogued in deliverable D2.2 – *Overview of Harmonisation Tools*. Great care was put in making sure that the most accurate definition was picked. Many of these terminologies were also in use by NUMERIC.

Some terms and concepts could not be clarified by using any existing terminology. For these tentative definitions were created. They will be checked as a part of the testing phase of the core survey.

The terminology list is appended to this document (Appendix 2).

## 5 Invitations and reminders

Invitation e-mails are sent to all selected institutions. In each country, the selection process is carried out by the national coordinators. A list of institutions that meet the requirements is then sent to DIGIBIS, where the invitation e-mail for each institution is provided with a unique link to the questionnaire.

The invitation e-mails contain a brief description of the ENUMERATE project and are to be translated in as many languages as possible (or when the national coordinator indicates that this is necessary).

The reminders are to be sent at a predetermined time before the end of the response period of the survey.

The invitation e-mail (Appendix 3), the e-mail in which the survey URL is communicated (Appendix 4) and the reminder (Appendix 5) are appended.

## 6 Feedback templates

In the test survey three meta questions are included that are aimed at eliciting feedback from the respondent. One which can be used to provide any information that may be helpful in improving the questionnaire in the future, one to indicate the amount of time the respondent spent completing the survey and one to point out which question were considered to be difficult, and why.

Section 7/7: Test questionnaire evaluation

31 Please include any other information which would help us to improve this questionnaire

32 How much time did you need to complete this questionnaire?

Minutes: 0 30 120

33 Did you find some questions difficult to answer?

Yes

No

Please enter your comment here:

A screenshot of the feedback screen from the test survey.

## **7 Guide to Managing the ENUMERATE Core Survey**

The final piece in the guidance material for the Core Survey is the *Guide to Managing the ENUMERATE Core Survey*. This brings together elements from the other parts of the documentation. It was made available in January 2012 (Appendix 6).

## Appendix 1 – Question specific guidance notes (test survey)

### Section 1: Organisational Information

#### Question 1:

*Name of institution / organization*

- Please provide the full, legal name of the company or institution about which you are answering the questions in this survey.

#### Question 2:

*Type / Domain of institution / organization*

- Specify the primary heading under which your company or institution classifies itself.

#### Question 3:

*Country in which your institution is located*

- Select the country

#### Question 4:

*Website of your institution*

- Provide the address of your institution's main website that is aimed at the general public.

#### Question 5:

*Your department*

- The name of your team or department. If your team or department does not have an official name, please indicate so.

#### Question 6:

*Your name*

- The full name and title of the person completing this survey.

#### Question 7:

*Your role in the institution*

- The position (job title) of the person completing this survey.

#### Question 8:

*Your e-mail address*

- The primary e-mail address of the person completing this survey.

#### Question 9:

*Your telephone number or Skype contact details*

- The primary phone number and/or the Skype details of the person completing this survey.

**Question 10:**

*What is your institution's annual revenue budget?*

- Provide the annual budget for the entire institution, for instance as indicated in the last set of published accounts.

**Question 11:**

*Number of paid staff*

- Include the total number of full time equivalents for all of your institutions employees including management positions.

**Section 2: Digitisation Activity**

**Question 12:**

*Does your organisation have digital collections or is it currently involved in collection digitisation activities?*

- Please, only answer this question with 'no' if your institution does not have any collections of digital materials, is not involved in any digitisation activities and does not have any established plans start developing its digital collection in the near future (in 2012).

**Question 13:**

*Please indicate the size of your collections per object type and assess the need to digitise*

Explanatory notes for each of the 4 columns:

- Estimated number of analogue items:  
Provide the estimated number of analogue items that are part of the institutions own collections.
- Estimated % catalogued in digital (textual) metadata records:  
Provide the estimated percentage of analogue items that are only catalogued in metadata records and are not digitally reproduced.
- Estimated % digitally reproduced:  
Include projects that are approaching completion. Include materials that are recorded as images, even without character recognition.
- Estimated % of the entire collection with no need to be digitally reproduced:  
The part of your collection that does not form an important part of the nation's cultural heritage, or is duplicated and had been (or will be) digitised by another institution. Digitisation of reference items will obviate the need to digitise everything.

**Question 14:**

*Does your organisation collect born digital heritage?*

- Answer this question with 'yes' if your institution collects any kind of born digital heritage (i.e. software, digital documents, digital art, harvested web content, etc.). The manner of collection is not of importance in answering this question.

**Question 15:**

*If yes: what types of born digital heritage?*

- Use the classifications of born digital heritage that are in use in your institution. If no established typology is in use, provide the classifications that you think best describe your collections.

**Question 16:**

*Does your organisation have a written digitisation strategy?*

- The strategy may be for any period up to 2016.

**Question 17:**

*Is your organisation included in a national digitisation strategy?*

- Answer this question with 'yes' if your institution is actively involved in, or obligated to comply with, a formal, national or federal, cross-institutional policy regarding the digitisation of cultural heritage.

**Section 3: Digital Access**

**Question 18:**

*Does your organisation have an explicit (written) policy to monitor access to digital collections?*

- Answer this question with 'yes' if your organization has a formal document detailing which digital materials are accessible to whom and the terms and conditions of this accessibility.

**Question 19:**

*Does your organisation measure the # of times digital metadata and/or digital objects are being accessed?*

- In order to be able to answer this question with 'yes' any manner of measurement will suffice.

**Question 20:**

*If yes, how?*

- Indicate all ways in which the access of digital metadata and objects is measured.

**Question 21:**

*Please indicate estimated percentage of your digital collections that is and/or will be accessible through the access options indicated in the left column.*

- Multiple access options for your individual digital collections are a possibility (i.e. European and Wikipedia). Consequently, the sum total of your answers does not have to be 100%.

**Section 4: Digital Preservation**

**Question 22:**

*Does your organisation have a written Digital Preservation Strategy?*

- The answer of this question will be 'yes' when, in your institution, a formal document exists which details the policy regarding digital preservation.

**Question 23:**

*Is your organisation included in a National Digital Preservation Strategy?*

- Answer this question with 'yes' if your institution is actively involved in, or obligated to comply with, a formal, national or federal, cross-institutional policy regarding digital preservation.

**Question 24:**

*Does your organisation have access to a Digital Preservation Infrastructure?*

- This infrastructure does not have to be owned by your institution, it may also be shared with other institutions, hired from or located at external companies.

**Section 5: Digitisation Expenditure**

**Question 25:**

*Please estimate your expenditure on Digitisation:*

- This sum is the amount identified in your own institution's annual budget to provide for digitisation work. Please attempt to include the cost of the staff time devoted to such projects in this estimate, but exclude external funding that is not included in your budget. If budget year does not coincide with the calendar, please choose the calendar year that fits best (in terms of the number of months). If a full summary of costs cannot be estimated, please indicate the amount that can be estimated and specify the items considered in the next question.

**Question 26:**

*What is included in the budgets specified in the previous question?*

- Check all expenses that apply in the left column and if possible give percentages per checked item in the column to the right. Please note that these percentages need not necessarily add up to 100%.

**Question 27:**

*What is the total number of local staff engaged in the digitisation activities of your institution?*

- Include the time of your own institution's staff engaged in digitization projects, including: planning and managing in-house and contracted projects; preparing and digitising materials; enhancing digitised output to widen accessibility.

**Question 28:**

*What is the total number of volunteers (in full-time equivalent) engaged in the digitisation activities of your institution?*

- Include the time of your institution's unpaid staff. Volunteers who receive compensation for their expenses (like travel costs) should also be included.

**Question 29:**

*From what sources are your digitisation activities funded?*

- Indicate all the sources from which your digitisation activities receive funds. Grants, subsidies and investments that you include in your answer should be directly intended for digitisation efforts, all other (general) grants, subsidies and investments become part of your institution's internal budget.

**Section 6: General Notes**

**Question 30:**

*Please include any other information which would help us understand the nature of your digitisation activities*

- Comments on the questionnaire itself can be given in the next question (31).

**Section 7: Test Questionnaire Evaluation**

**Question 31:**

*Please include any other information which would help us to improve this questionnaire*

- Please comment on the quality and clarity of the questions and the explanations above. Suggestions on how to improve the questionnaire are highly appreciated.

**Question 32:**

*How much time did you need to complete this questionnaire?*

- Indicate the estimated time you spend on answering the questions including the time spend researching the answers.

**Question 33:**

*Did you find some questions difficult to answer?*

- If any questions were difficult to answer because the situation in your institution is incompatible with the options given in this questionnaire, please indicate this here.

## Appendix 2 – Terminology List

### Questionnaire Definitions (source: NUMERIC Study)

- \***Access** (ISO 5127) right, opportunity or means of obtaining information from documents.
- \***Access control** (NEDLIB) verification of user rights and the terms and conditions for the access to a publication.
- \***Access policy** (ODLIS) A formal written statement issued by the person(s) or body responsible for managing archives or special collections, specifying which materials are available for access and by whom, including any conditions or restrictions on use, usually posted or distributed by some method to users.
- \***Archive** (Pierce-Moses) The division within an organization responsible for maintaining the organisation's records of enduring value. An organisation that collects the records of individuals, families, or other organisations.
- \***Archival records** (tentative def. GJN, adapted from ISO 5127) documents created or received and maintained by an agency, organization or individual in pursuance of legal obligations, in the transaction of business, or in the course of the conduct of affairs, and preserved because of their enduring value. [GJN]
- \***Audio recording** (ODLIS) any medium on which sounds are recorded for mechanical or electronic playback, including phonograph records (vinyl), audiotape, and compact disc. Synonymous with sound recording.
- \***Audio visual document** (ISO 2789) document in which sound and/or pictures are prominent, and which requires the use of special equipment to be seen and/or heard.
- \***Book** (ISO 2789) non-serial printed document in codex form.
- \***Born digital/ Born digital heritage** (Jones) Digital materials which are not intended to have an analogue equivalent, either as the originating source or as a result of conversion to analogue form.
- \***Collection** (ISO 5127) gathering of documents assembled on the basis of some common characteristic, without regard to their provenance.
- \***Digital materials** (Jones) A broad term encompassing digital surrogates created as a result of converting analogue materials to digital form (digitisation), and "born digital" for which there has never been and is never intended to be an analogue equivalent, and digital records.
- \***Digital preservation** (ODLIS) The process of maintaining, in a condition suitable for use, materials produced in digital formats, including preservation of the bit stream and the continued ability to render or display the content represented by the bit stream. The task is compounded by the fact that some digital storage media deteriorate quickly ("bit rot"), and the digital object is inextricably entwined with its access environment (software and hardware), which is evolving in a continuous cycle of innovation and obsolescence. Also refers to the practice of digitizing materials originally produced in non-digital formats (print, film, etc.) to prevent permanent loss due to deterioration of the physical medium.
- \***Digital preservation infrastructure** (tentative def. GJN) the basic physical and organisational structures and facilities (e.g., hardware, software, system management facilities, etc.) needed for the implementation of digital preservation.
- \***Digital preservation strategy (written)** (tentative def. GJN) a document, formally approved within an organisation, describing the way the organisation will be active in the preservation of her digitized and born digital collections.
- \***Digitisation** (IMLS) the process of converting, creating and maintaining books, art works, historical documents, photos, journals etc, in electronic representation so they can be viewed via computer and other devices.
- \***Digitisation strategy (written)** (tentative def. GJN) a document, formally approved within an organisation, describing the way the organisation will be active in the digitisation of her collections.
- \***Document** (ISO 2789) recorded information or material object, which can be treated as a unit in a documentation process.
- \***Drawing** (ISO 5127) picture made with a solid mineral substance or a pointed tool.

**\*Engraving** (ISO 5127) print made from any kind of intaglio plate, whether engraved with hand-tools or a machine, or etched with acid, so that the printing areas are lower than the non-printing areas.

**\*Film** (ISO 5127) series of pictures recorded on a strip of transparent material, or on an electronic data medium, which, when projected or produced rapidly one after another on a screen, give the illusion of natural and continuous movement.

**\*Full-time equivalent/FTE** (adapted from ISO 11620) a measurement equal to one staff person working a full-time work schedule for one year. EXAMPLE If out of three persons employed in an institution, one works quarter-time, one works half-time, and one works full-time, then the FTE of these three persons would be  $0,25 + 0,5 + 1,0 = 1,75$  employees (FTE).

**\*Journal** (adapted from ISO 2789) serial under the same title published at regular or irregular intervals, over an indefinite period, individual issues in the series being numbered consecutively or each issue being dated. NOTE: Series of reports, transactions of institutions, series of regular conference proceedings and annuals are included, while newspapers and monographic series are excluded.

**\*Library** (ISO 2789) 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. NOTE These are the basic requirements for a library and do not \*exclude any additional resources and services incidental to its main purpose.

**\*Manuscript** (ISO 2789) original document that is handwritten or in typescript. NOTE: Bound volumes and other units (fragments, rolls, autographs, etc.) may be counted separately.

**\*Map** (ISO 5127) conventional representation, on a reduced scale and usually flat, of phenomena which can be localized in space and time.

**\*Metadata** (ODLIS) Literally, "data about data." Structured information describing information resources/objects for a variety of purposes....The term is generally used in the library community for on-traditional schemes such as the Dublin Core Metadata Element Set, the VRA Core Categories, and the Encoded Archival Description (EAD). Metadata has been categorized as descriptive, structural, and administrative. *Descriptive metadata* facilitates indexing, discovery, identification, and selection. *Structural metadata* describes the internal structure of complex information resources. *Administrative metadata* aids in the management of resources and may include rights management metadata, preservation metadata, and technical metadata describing the physical characteristics of a resource.

**\*Microform** (ISO 2789) photographic document requiring magnification when used. NOTE 1: Microfiche and microfilm are included. NOTE 2: Slides and similar documents are counted as audiovisual documents.

**\*Monument** (adapted from OECD and UNESCO) Historic monuments are fixed assets that are identifiable because of particular historic, national, regional, local, religious or symbolic significance. This includes architectural works, groups of buildings, works of monumental sculpture and painting, elements or structures of an archaeological nature, inscriptions, cave dwellings and combinations of features. The definition excludes objects in the collections of archives, libraries and museums.

**\*Museum (1)** (ISO 5127) organized collection of artefacts or naturalia of cultural or scientific interest, stored permanently for intended display.

**\*Museum (2)** (ISO 5127) organization or part of an organization responsible for collecting, preserving, and exhibiting museum documents.

**\*National digitization strategy** (Tentative def. GJN, MdN & SB) An official, national or federal, cross-institutional policy on the digitization of cultural heritage that is imposed upon the institutions that are included in the strategy. Institutions may take part in the formative process of such a strategy and, as such, have a role in enforcing the strategy.

**\*National digital preservation strategy** (Tentative def. GJN, MdN & SB) An official, national or federal, cross-institutional policy on the preservation of digitized cultural heritage and born digital cultural heritage that is imposed upon the institutions that are included in the strategy. Institutions may take part in the formative process of such a strategy and, as such, have a role in enforcing the strategy.

\***Newspaper** (ISO 2789) serial, which contains news on current events of special or general interest, the individual parts of which are listed chronologically or numerically and usually appear at least once a week.

\***Painting** (preliminary definition GJN) a work produced through the art of painting in oil, acrylic paint, watercolour

\***Photograph** (ISO 5127) picture obtained by a process which fixes a direct and durable image on a sensitized surface by the action of electromagnetic radiation.

\***Postcard** (ISO 5127) card for conveyance by post, often with a picture on one side.

\***Poster** (ODLIS) A large single sheet of heavy paper or cardboard, usually printed on one side only, with or without illustration, to advertise a product/service or publicize a forthcoming event (meeting, concert, dramatic performance, etc.), intended for display on a bulletin board, kiosk, wall, or other suitable surface.

\***Preservation** (ISO 5127) all measures taken including financial and strategic decisions, to maintain the integrity and extend the life of documents or collections.

\***Print** (ISO 5127) copy of an image transferred to a sensitive material.

\***Rare book** (ISO 2789) book published before 1800.

\***Record** (ISO 5127) document created or received and maintained by an agency, organization or individual in pursuance of legal obligations or in the transaction of business.

\***Serial** (ODLIS) A publication in any medium issued under the same title in a succession of discrete parts, usually numbered (or dated) and appearing at regular or irregular intervals with no predetermined conclusion.

\***Sheet music** (ISO 5127) printed music issued without covers, whether actually printed on single sheets (pages) or not.

\***Three-dimensional works of art** (Tentative def. SB) A work of art that has height, width and depth.

\***Video recording** (ODLIS) electronic medium in which visual images, usually in motion and accompanied by sound, are recorded for playback by means of a television receiver or monitor. The

\***Web analytics** (tentative def. Wikipedia) is the measurement, collection, analysis and reporting of internet data for purposes of understanding and optimizing web usage.

## Appendix 3 – Invitation e-mail

Dear colleague,

Early in 2012 the EU-funded 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 the Europe.

It will gather data about the:

- Digitisation of collections;
- Access to digitised heritage collections;
- Preservation of digital heritage materials.

The results of the survey will be given back to the cultural heritage sector via an open data platform.

ENUMERATE is approaching a small selection of institutions willing to test the draft version of the online survey, which is intended to be distributed to several thousands of institutions.

It would be of great help to us if you were willing to test our survey, and give us any remarks that might improve it. We estimate that your research time needed to answer the questions will be about 30 minutes, possibly spread over a few days.

Your data will be integrated with the final survey, so you will not be asked to supply additional data later on.

If you are willing to participate, please send us ([enumerate@digibis.com](mailto:enumerate@digibis.com)):

- Your name;
- The name of your institution;
- The type of institution (e.g. museum, archive, library);
- Your e-mail address;
- A telephone number.

Within a few days we will send you an e-mail containing the URL of the online survey and further details.

Please do not hesitate to contact us through the e-mail address 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 we thank you in advance.

Best Regards, the ENUMERATE Team

E-mail: [enumerate@digibis.com](mailto:enumerate@digibis.com)

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>

## Appendix 4 – URL communication e-mail

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.

Early in 2012 the EU-funded 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 the Europe.

It will gather data about the:

- Digitisation of collections;
- Access to digitised heritage collections;
- Preservation of digital heritage materials.

The results of will be given back to the cultural heritage sector via an open data platform.

On behalf of the community of archives, libraries and museums we ask for your help.

Below is a link to an online survey we intend to distribute among several thousands of institutions. It would be of great help to us if you are willing and able to test it, and help us with any remarks that might improve the current set of questions. There are 32 questions. We estimate that your research time needed to answer the questions will be about 30 minutes, possibly spread over a few days.

**[LINK TO THE QUESTIONNAIRE]**

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.

More information on the ENUMERATE network is available on the website, and via Twitter and LinkedIn.

In anticipation of your kind attention and support, we thank you in advance.

Best Regards, the ENUMERATE Team

E-mail: [enumerate@digibis.com](mailto:enumerate@digibis.com)

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>

## Appendix 5 – Reminder e-mail

Dear colleague,

May we kindly remind you of the ENUMERATE online survey test? About a week ago we have sent you an invitation to be part of the test panel for a EU funded survey in the domain of digital heritage, focusing on digitisation, (online) access, and digital preservation. We desperately hope that you are still willing and able to help us! According to our estimates doing the survey will take about 30 minutes of your time.

Any remarks that might improve the current set of questions would be much appreciated. Your responses will be saved and integrated with the results of the final survey, which we are going to do in February/March 2012 among thousands of European institutions, so don't worry: we will not approach you at that time to do the survey again!

This is a link to the online survey:

[LINK TO THE QUESTIONNAIRE]

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, we thank you in advance.

Best Regards, the ENUMERATE Team

E-mail: [enumerate@digibis.com](mailto:enumerate@digibis.com)

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>

## Appendix 6 – Guide to Managing the ENUMERATE Core Survey

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](mailto:enumerate-admin@digibis.com)) and DEN ([gerhard.jan.nauta@den.nl](mailto: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 23<sup>rd</sup> 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.

## *D2.5 – Documentation and Guidance Materials*

(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

## D2.5 – Documentation and Guidance Materials

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 sent. 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 2<sup>nd</sup> 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](mailto: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 advise 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 29<sup>th</sup> 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
<b>Survey Preparation</b>			
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
<b>Preparing the Invitations</b>			
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
<b>Managing the Survey</b>			
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 )
<b>Analysis and Reporting</b>			
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](mailto:enumerate-admin@digibis.com)) or DEN ([gerhard.jan.nauta@den.nl](mailto: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.

[\[LINK TO THE QUESTIONNAIRE\]](#)

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, <XXXXXXXX>

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.

[\[LINK TO THE QUESTIONNAIRE\]](#)

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, <xxxxxxxx>

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>