

**U.S GENERAL DIVISION**

**ACQUISITIONS AND BIBLIOGRAPHIC ACCESS DIRECTORATE**

**ANNUAL REPORT**

**FISCAL YEAR 2011**

October 19<sup>th</sup>, 2011

To the Librarian of Congress:

I am pleased to submit the Annual Report of the U.S. General Division for the period October 1, 2010 to September 30, 2011.

Sincerely,

Karl E. Debus-López, Chief  
U.S. General Division

**U.S. GENERAL DIVISION: FY11 ANNUAL REPORT  
October 1<sup>st</sup>, 2010-September 30<sup>th</sup>, 2011**

Prepared by Karl E. Debus-López, Chief  
With input from the USGEN Division Management Team  
October 19<sup>th</sup>, 2011

**Division-wide Significant Trends and Improved Processes**

Note: USGEN and USPL Copyright and CIP production and work on hand is combined to address trends as the two divisions were administratively aligned in FY11 and share the same mission.

Production

USGEN and USPL staff produced about 43% (105,158) of the cataloging completions in ABA even though the staff only represents about 30% of the overall workforce in ABA. In FY11, the USPL Division ranked first in cataloging completions, while the USGEN Division ranked third amongst the ABA Divisions. USPL ranked first and USGEN ranked second within the Directorate for original cataloging completions. USPL and USGEN had five of the top ten sections within ABA for cataloging completions: Law (1<sup>st</sup>); Science, Technology, and Medicine (2<sup>nd</sup>); Literature (4<sup>th</sup>); Social Sciences (6<sup>th</sup>); and, Art and Religion (9<sup>th</sup>).

Despite the high production of the two divisions, overall cataloging production dropped by 6% from FY10. This is principally due to: 1) the continued loss of staff with specialized subject knowledge due to retirements, resignations, transfers, and deaths without the ability to hire new staff; 2) a slight reduction in CIP receipts compared to FY10; and, 3) the repurposing of staff to focus on learning new activities that in the long-term will streamline operations; however, in the short-term impacts productivity. These new activities include use of the ONIX/MARC converter program and training on RDA.

USGEN and USPL received fewer items in FY11 from the Copyright Office and the CIP Program than in FY10. CIP Priority 1 and Priority 2 receipts, while still very high at 101,942 books, decreased by 10% from the banner year of FY10. It is important to note that the CIP automatic claiming program was released in FY10 resulting in a surge of receipts of older un-received CIP books that year. By FY11, the claiming program had become routinized with smaller numbers of books received through the program on a monthly basis. Receipts from the Copyright Office were almost comparable to FY10. They were down slightly by 1%.

Work on Hand

The extended use of overtime, comp time, and SWAT projects during FY11 allowed the USGEN and USPL divisions to reduce its total monographic work on hand during the year. At the end of September 2011 there were 72,085 books and ECIPs in the USGEN and USPL divisions, compared to 82,592 at the end of September 2010. While the quantity is still large, this

represents a reduction of 13%. A procedural change that assisted in reducing the backlog was the decision to allow technician staff to pull books from the CIP Support backlog to perform CIP verification. It is anticipated that with the new CIP Support contract for FY12 there will be further reductions at least within the CIP and Copyright Support areas. However, with the anticipated retirements, the backlog may move from the CIP/Copyright support areas to the sections within USGEN and USPL. In fact, in FY11 the number of books in the sectional backlogs increased by 9%. This number is likely to increase in FY12. USGEN and USPL continued to catalog more items during the year than what remained in their backlogs. The cataloging to work on hand ratio for FY11 increased to 1.46, an increase of 8% from FY10.

In FY11 the USGEN Division saw a 14% decrease in the number of serial issues and volumes checked in by the two USGEN serials sections. This decrease is due to the unusual high production of FY10 when the Librarian mandated a serials “surge” project through which over 50,000 serial issues and volumes were checked in by the USGEN serials staff in the course of two months. FY11 saw a return to a more normal flow of serials received from the Copyright Office as can be seen by the significant decrease in the work on hand in the two serials sections at the end of the fiscal year by 71% from 25,300 items in October of 2010 to 7,400 items in September of 2011.

At the end of September 2011 there were 20% more ECIPs in the USGEN and USPL backlogs than in FY10. This is very troubling as ECIPs are considered Priority 1 items that per LCR 411-1, *Priorities in Cataloging Within Cataloging Levels*, should be processed before any other materials (with the exception of rush requests from Congress or other high officials from other federal agencies) by ABA. Even more troubling is that the throughput time for processing ECIPs was 20.2 days, about three times slower than last year’s throughput of 6.6 days. A little over 48% of all ECIPs were processed within 14 days in FY11, compared to 88% processed within 14 days in FY10. Unfortunately, these numbers are the worst recorded for the CIP Program since the Library of Congress began gathering this data in 1997.

The increased ECIP backlog and the increased time it takes to process them is a direct result of the loss of key catalogers with expert subject knowledge who would normally process ECIPs, particularly in the sciences, law, political science, and children’s literature. Even the loss of one expert subject cataloger makes a big difference in the productivity of a section. It is also an indirect result of the 2008 ABA Reorganization. Prior to 2008 all cataloging staff throughout the Directorate was required to process ECIPs before any other work was performed. There was quite simply more staff involved with processing ECIPs prior to the reorganization than there are now. At this point, only a handful of catalogers within the acquiring divisions with special foreign language expertise catalog ECIPs. It is not surprising that with the loss of cataloging staff in USGEN and USPL and the inability to easily pull from the acquiring divisions to assist with ECIP processing (due to their own pressures to purchase foreign materials for the Library of Congress collections), that the Library is now seeing the negative impact of the 2008 Reorganization on the CIP Program as it relates to ECIP processing.

If the USGEN/USPL Reorganization is approved, CIP will benefit from having a CIP Program Manager to coordinate its work again and focus directly on this problem. CIP was the only program within ABA that was left without a specific section head or program coordinator to

manage its activities, which in hindsight, given the size and importance of the program, was an oversight on the part of the 2008 reorganization.

### Proposed Reorganization of the ABA U.S. General and U.S. and Publisher Liaison Divisions

On August 3<sup>rd</sup>, the USGEN/USPL Reorganization Committee, chaired by Chief Karl Debus-López and made up of staff representing all positions and the 2477 and 2910 unions within USGEN and USPL, submitted a proposal to Mr. Beacher Wiggins, the Director of the Acquisitions and Bibliographic Access Directorate, to reorganize USGEN and USPL into two divisions with missions that will ultimately provide greater support for the critical program and production areas that build the Library of Congress' core collection of U.S. national imprints. The U.S. national imprint collection represents the creative output of the American people. U.S. imprints also represent the most heavily requested materials from the Library's principal constituents, members of Congress. Providing a better structure and better defined missions to support this creative output will allow the Library of Congress to better meet its overall mission "to support the Congress in fulfilling its constitutional duties and to further the progress of knowledge and creativity for the benefit of the American people." (*Library of Congress Strategic Plan, Fiscal Years 2011-2016*, p. 1)

The organizational changes needed to actualize this proposed reorganization, are in summary: 1) creation of a new U.S. Arts, Sciences, and Humanities (USASH) Division to focus principally on subject expertise, production work, and serve as the principal ABA liaison to the Copyright Office and the new Collection Development Office; 2) creation of a new U.S. Programs, Law, and Literature Division (USPRLL) to focus principally on support of the Cataloging in Publication (CIP), Children's and Young Adults' Cataloging (CYAC), Dewey Decimal Classification (DDC), International Standard Serial Number (ISSN), and Electronic Preassigned Control Number (EPCN) programs and serve as the principal ABA liaison to the Library of Congress Law Library; 3) creation of a new GS1410-14 Supervisory Librarian Program Manager position to manage the program areas of CIP, CYAC, DDC, and ISSN; 4) merger of the Children's Literature and Literature sections into one overall Literature Section managed by a GS-14 Supervisory Librarian Program Manager; 5) creation of a CIP Section comprised of a GS-14 Supervisory Librarian Program Manager, three CIP Program Specialists, and two CIP teams managed by supervisory library technicians; 6) creation of an ISSN Section managed by one GS-14 Supervisory Librarian Program Manager; 7) redistribution of subject areas between the existing USPL Science, Technology, and Medicine Section and USGEN Art and Religion Section; and 8) redeployment of staff to assist in areas where there are critical shortages.

The reorganization of the two divisions most responsible for the selection and processing of U.S. published materials in all formats into two new divisions logically structured into one division (USASH) that focuses principally on subject expertise and production and a second division (USPRLL) that provides support for critical national and international programs, will allow ABA to provide better management of essential programs and realize efficiencies across the divisions. By recognizing the central role of the two new divisions in creating the Library of Congress' highest priority collection, the U.S. national imprint collection, the reorganization will restore purpose and pride to the staff in the two new divisions. As of the writing of this annual report,

the proposal had been reviewed and approved by Mr. Wiggins and was being reviewed by the Deputy Associate Librarian for Library Services, Ms. Sandra Lawson.

### Copyright eDeposit Program

FY11 saw continued advances in the eDeposit Program, which provides for the receipt of electronic serials demanded under Copyright law into the Library's collection. The Library continues to develop the necessary workflows, procedures and infrastructure to support the receipt of these serials and actually began to receive the first issues this past year. Since they are Copyright serial receipts, they are the responsibility of the USGEN Serials – Arts, Humanities & Sciences Section and the USGEN Serials – Social Sciences Section to process and catalog. The Library Services Project Manager for eDeposit, Dr. Ted Westervelt, is the Head of the USGEN Serials – Arts, Humanities and Sciences Section.

Dr. Westervelt coordinated the work of staff in other service units on this project and worked with his counterpart section head in USGEN Serials – Social Sciences, Ms. Kristie Muldrow, to initiate the two serials sections into working with eDeposit receipts as part of their regular workload. Since this is a period in which the Library needs to learn how to develop and improve the systems and workflows implemented for eDeposit, a limited number of staff was chosen to work on the project: four technicians and three catalogers. The work of the pilot staff has allowed the Division to add more than 300 issues of e-serials to the Library's collection, while also providing essential feedback which has allowed for improvements in each iteration of the software and with each update of the workflow. With the integration of the processing systems in the Office of Strategic Initiatives – the Content Transfer System (CTS) and the Delivery Management System (DMS) – with the eCO system in Copyright in October 2011, eDeposit project staff can focus their energies on the next round of improvements in the workflow tracking mechanisms in the CTS and DMS and on the integration of the LC ILS with those two systems, with a goal of expanding the scale of eDeposit for the Library.

### Move of ONIX/MARC pilot into production

The ONIX/MARC Converter Team, under the direction of Chief Karl Debus-López, expanded the ONIX pilot to include volunteers from all sections in USGEN and USPL that catalog ECIPs. With the expansion, sixteen catalogers are now working with ONIX data. In May, the Team prepared a report for review by the ABA Management Team that led to the decision to move the ONIX/MARC converter program from pilot to production at the point of the next Voyager upgrade in late 2011 or early 2012. Once the ONIX/MARC program is moved into production, all catalogers will be trained on its use. Development of the ONIX/MARC converter program was a direct outgrowth of the *Report of The Library of Congress Working Group on the Future of Bibliographic Control, On the Record*, specifically “Section 1.1, Eliminate Redundancies” that has several recommendations for using externally available bibliographic data and for further automating the CIP process. The primary advantage to the use of the converter is that very little keying and usually little data manipulation are required when working with ONIX records as compared with regular TCEC descriptive cataloging. Use of ONIX records continued to increase in FY11. In FY09 532 ECIPs were added through use of the ONIX to MARC

converter program. In FY10 2,810 records were added through the program and in FY11 8,499 records were added – an increase of 202% from the previous year.

Use of ONIX has streamlined our operations in that the staffs in USGEN and USPL are able to use the ONIX information similar to how they use copy cataloging records available in OCLC. Most, if not all, of the information needed for the descriptive elements of the title is available within the ONIX record. The ONIX records often have additional data elements that provide more information and access points to Library of Congress users, such as tables of contents and summaries. Throughout the year, key ONIX/MARC Team staff gave presentations and promoted the work done by the Library of Congress in this area. Mr. David Williamson (ABA), who created the program, Ms. Camilla Williams (USPL), and Ms. Caroline Saccucci (USPL), are particularly noted for their ONIX/MARC work.

### Increase of Copy Cataloging and Continued Significance of Original Cataloging in USGEN and USPL

Records created through use of the ONIX/MARC converter program are considered to be “copy” for the Library Services Performance Budget targets; however, they are not counted in the Date of Last Transaction database as copy catalog records. Even without including the ONIX records within the USGEN and USPL copy cataloging count, the two divisions saw a noticeable 14% increase in the number of records copy cataloged. This is the direct result of the copy cataloging training that was done in the first two years of the reorganization, allowing most cataloging technicians to become adept at performing this task.

Since USGEN and USPL are often at the beginning of the bibliographic record creation process principally due to the receipts from the Cataloging in Publication Program, they continue to be the two divisions that process the most original cataloging within the ABA Directorate. The two divisions were responsible for the creation of 81,737 original cataloging records that were later disseminated and used by libraries throughout the world as “copy.” Despite the increased number of titles added to the Library of Congress database via use of copy catalog records, 78% of the cataloging completed within USGEN and USPL continued to be original. This represents 47% of the total original cataloging output of the ABA Directorate in FY11. As many U.S. research libraries move away from building print collections to servicing their users through electronic book packages and patron driven acquisitions, it is likely that USGEN and USPL will continue to have a key role in creating original cataloging records in the years to come.

### Priority 2 Selection SWAT

The USGEN and USPL divisions were fortunate in that the second Selection Librarian position was filled in March of 2011. Ms. Desiree Woodard, formerly of the Copyright Office, was chosen for the position. Although four staff had participated in a series of selection librarian details in 2010 and 2011, it was difficult for one expert fully-trained Selection Officer, Mr. Ralph Cole, to keep up with the workload of reviewing and selecting over 270,000 volumes for the Library of Congress collections. With a variety of staff and workflow relocations looming due to the proposed renovation of the Madison basement area, ABA managers authorized a one month long SWAT effort aimed at reducing the backlog of unselected incoming priority 2 material to

8,000 pieces or below. The backlog as of August 1st stood at 16,430 pieces shelved in LM-B47. A selection team of librarians throughout the ABA was assembled to remove as much of the backlog as possible before September 1st. One of the advantages of this SWAT effort was the quick start up time, aided in no small measure by the fact that all the participants either had major exposure to monographic selection while on selection details, or in the case of three Government Documents staff, actually perform selection on a daily basis as part of their normal work routine. The month long SWAT effort yielded a reduction of unselected incoming CIP mail priority 2's in LM B-47 from 16,430 on August 1, to 5,314 by August 31. This result was all the more noteworthy, in that the selection team had to not only select priority 2 monographs that were already shelved in LM-B47, but contend with the incoming flow of this material as well, which during the month of August amounted to 5,435 pieces, received and staged for selection by the Acquisitions and Fiscal Support contract staff. By the end of September, the Priority 2 backlog had increased slightly to 6,000 pieces, but, with two fully trained selection officers on board and the increased numbers of staff trained on selection in FY11, it is hoped that the backlog will not increase significantly in FY12.

## **Dewey Section Programmatic Developments**

The Dewey Section continued its threefold mission – to develop, apply, and assist in the use of the Dewey Decimal Classification (DDC). Editorial work during this period focused on the publication of the 23<sup>rd</sup> edition of the DDC in May and Editorial Policy Committee meeting 134 in Dublin, Ohio. The editorial staff within the Dewey Section also continued to update data for the new Editorial Support System (ESS) for DDC 23, and they focused on updating data for the WebDewey 2.0 enhancement. WebDewey 2.0 is the online version of the complete four volume set and abridged edition of the Dewey Classification. It is the updated version of WebDewey that keeps current with new topics by periodically updating the database.

The Section continues to benefit from the cross-training initiative which involves all Dewey classifiers and the use of the AutoDewey program in which the U.S. General Literature Section assigns DDC numbers to literary works of fiction, poetry, and drama by single authors. Dewey's staff-sharing arrangements within the U.S. General Division (USGEN), the Asian and Middle Eastern Division (ASME), and a detail arrangement with the Literature Section in USGEN have had positive results on production.

### Development of the Dewey Decimal Classification

The assistant editors, Dr. Julianne Beall and Dr. Rebecca Green, continued to work in the Editorial Support System (ESS) to update data for DDC 23. They also made final preparations for the publication of DDC 23 by using the ESS; and they updated data for WebDewey 2.0. The implementation of DDC 23 took place on May 12<sup>th</sup> and the online version of DDC 23 became available in WebDewey 2.0 on May 23<sup>rd</sup>. The URL is <http://dewey.org/webdewey/>.

The Dewey editorial staff members continued to assist translation partners in the development of several translations of the DDC. They moved forward on the Arabic and Swedish translations.

## Application of the Dewey Decimal Classification

During FY 2011, the Dewey Section classifiers and others assigned 54,509 Dewey numbers to titles, with an additional 5,205 assigned by AutoDewey. Comparable figures for this period in 2010 were 61,375, with an additional 5,090 assigned by AutoDewey. Copied DDC numbers (i.e., 082, second indicator 4) processed at the Library of Congress (LC) further supplemented the total number of records receiving DDC numbers, which resulted in 26,998 titles receiving copied numbers for this fiscal year. While use of AutoDewey increased by 2% in FY11, overall classification dropped by 11%. The drop is due to the loss of one staff member to retirement in December of 2010 and the long illness and eventual passing of a second staff member in August of 2011.

As a result of the success of the AutoDewey program and cross training, the Section continues to explore other areas of the Dewey classification for expansion that will correlate with the Library of Congress classification and subject headings. As the Dewey Section loses more staff, it will be essential for the Dewey Program to expand AutoDewey as much as possible.

## **FY11 USGEN Division Results**

The USGEN Division continues to provide outstanding service to the Library and the nation. Along with its sister Division, USPL, which it was operationally aligned with throughout FY11, the staff within USGEN was responsible for more than 40% of the total cataloging output and close to 50% of the original cataloging of ABA despite serious staffing shortages in critical areas. Staff processed materials received from Copyright and CIP so that they could be more readily available to researchers and the public; thereby, saving school, public, and university libraries the expense of duplicating this effort. Staff within USGEN has been instrumental in moving forward on numerous initiatives that have either improved efficiency within ABA or will assist the Library in building new models for management of our work. This includes assisting with the ONIX/MARC conversion project; implementation of DDC 23; improvements to Web Dewey 2.0; continued enhancement of AutoDewey; development of new translations for the DDC; and, creation of new workflows for the management of electronic only serials received by the Copyright Office. The USGEN Selection Officer also took the lead on ensuring that the highest priority materials in the Library of Congress' collections continued to be selected in a timely manner even though there were staff shortages in this critical functional area for most of the fiscal year.

As the Library enters FY12, there are warning signs on the horizon. The paradox of USGEN and USPL being two of the most productive divisions within the Directorate with very large backlogs continued in FY11 and is likely to continue in FY12. It is possible that the USGEN and USPL divisions will lose up to 24 staff through the VERA/VSIP program. This represents 13% of the staff within the two divisions. A loss of 13% of staff will have a devastating impact on the timely processing of materials for the Library's highest-priority U.S. national imprint collections. In some subject areas, the divisions may lose all of their subject expertise. The unacceptable backlog of ECIPs and increased length of time it takes to process ECIPs will continue to grow. If the Library is unable to hire staff to replace retirees, it may be necessary to move staff from other areas within ABA to fill these voids – resulting in possible backlogs in other areas of the



Directorate. As we enter an election year where most of the concerns of the nation are on domestic issues, it will be very important to support the work of the two divisions within ABA most responsible for cataloging and processing newly published U.S. works in all areas, but, particularly in economics, political science, technology, and the social sciences. The planned reorganization of USGEN and USPL should allow the staff within the two divisions to employ more production efficiencies which would alleviate some of the pressures of losing so many staff in such a short period of time, while still allowing programmatic staff to continue to build the national and international program areas managed within USGEN and USPL.

## U.S. GENERAL DIVISION FY11 STAFF REPORT

### Significant External Appointments

Dr. Julianne Beall, Dewey Section Liaison, Special Libraries Association Committee on Cataloging  
Dr. Julianne Beall, Dewey Section Liaison, ALA, ALCTS Subject Analysis Committee  
Mr. Karl Debus-López, President, ALA, Federal and Armed Forces Libraries Roundtable  
Mr. Karl Debus-López, Vice-Chair, ISSN Governing Board; ISSN Strategic Planning Committee  
Mr. Karl Debus-López, Chair, Cataloging in Publication Advisory Group  
Mr. Karl Debus-López, Acquisitions Section Representative, ALA, ALCTS Publications Committee  
Mr. Elmer Klebs, Member, CONSER Multiple Formats Linking Group

### Permanent Promotions

Mr. Vondell McKinley, USGEN History and Military Science Section to GS-13 Senior Cataloger, February 2011

### Temporary Appointments

Ms. Ahmani Hartwell, work study student, March-July, 2011

### Retirements

Mr. Dennis McGovern, former Chief of the Decimal Classification Division, and part-time Dewey classifier in ALAWE Division, December 2010  
Mr. Barbara Woodland, USGEN Serials Social Sciences Section, December 2010

### Resignations

Ms. Jenele Gorham, USGEN Serials Arts, Humanities, and Sciences Section, July 2011  
Ms. Grace Uchendu, USGEN Geography, Political Science, and Education Section, August 2011

### Transfers out of the Division

Mr. Paul Kelly, USGEN Geography, Political Science, and Education Section to G&S, Germany Section, August 2011  
Ms. Caroline Saccucci, USGEN Geography, Political Science, and Education Section to USPL CIP Program, March 2011

### Transfers into the Division

Ms. Kristen Anderson, G&S, Germany Section to the USGEN History and Military Science Section, August 2011

Ms. Linda Geisler, USPL ISSN PL Section Head to the USGEN Literature Section Head position, March 2011. Ms. Geisler continues as Acting Section Head of the USPL Children's Literature Section.

In Memoriam

Ms. Letitia (Tish) Reigle, a Dewey classifier for 35 years, departed on August 4 at her home in Washington, DC.

Ms. Shirley Scott-Davis, a library technician in HMS for nearly three years and a Library staff member for over 39 years, passed away on August 4 at her home in Maryland.

**USGEN FY10/FY11 STATISTICAL COMPARISON**  
(USGEN and USPL are combined where appropriate)

<b>PRODUCTION CATEGORY</b>	<b>FY10</b>	<b>FY11</b>	<b>PERCENTAGE CHANGE</b>
Cataloging Completions	111,712	105,158	-6%
Original Cataloging	91,117	81,737	-10%
Copy Cataloging	20,595	23,421	+14%
CIP Verification	56,554	53,885	-5%
New Serial Titles Selected	2,218	1,828	-17%
Serial Pieces Checked In	201,892	172,752	-14%
Dewey Classification	97,647	86,712	-11%
Auto Dewey Assignments	5,090	5,205	+2%
Total Mono. Receipts: Copyright	175,150	174,650	-1%
Total Mono. Receipts: CIP	113,877	101,942	-10%
ECIPS and CIPs processed	55,976	51,953	-7%
<b>WORK ON HAND – END OF SEPTEMBER</b>			
Print books in USGEN/USPL Sections	37,168	40,512	+9%
ECIPs in USGEN/USPL Sections	1,827	2,195	+20%
Monographic Decisions Pending	13,631	6,000	-56%
CIP Priority 1 Books Unprocessed in CIPS	21,333	4,918	-77%
Non-CIP Books Unprocessed in CIPS	8,633	18,460	+114%
Total Books and ECIPS on Hand	82,592	72,085	-13%
Ratio of Cataloging/Work on Hand	1.35	1.46	+8%
Serial Issues to be Checked In	25,300	7,400	-71%