ACQUISITIONS AND BIBLIOGRAPHIC ACCESS DIRECTORATE
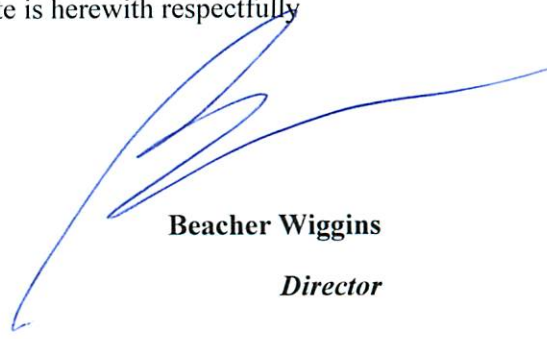
LIBRARY SERVICES

ANNUAL REPORT

Fiscal 2016

(October 1, 2015 - September 30, 2016)

To The Librarian of Congress:

The Annual Report of the Acquisitions & Bibliographic Access Directorate is herewith respectfully submitted.

Beacher Wiggins

Director

Library of Congress

Acquisitions and Bibliographic Access Directorate
Annual Report for the Fiscal Year Ending September 30, 2016

The Acquisitions and Bibliographic Access Directorate (ABA) in fiscal 2016 played a key role in accomplishing the mission of Library Services to acquire, organize, provide access to, maintain, secure, and preserve the collections of the Library of Congress, which document the history and further the creativity of the American people and that record and contribute to the advancement of civilization and knowledge throughout the world. The directorate acquired materials for all collections, in all formats, held by the Library Services service unit and the Law Library of Congress; cataloged print and digital resources in all languages; provided professional training of Library of Congress staff and colleagues in the library community; and led a wide range of standards and leadership initiatives in cataloging and acquisitions. Significant achievements of 2016 included:

o Acquisition of more than 1.15 million items through the most cost-effective methods

o Completion of 214,845 bibliographic records for the Library of Congress Online Catalog

o Increases in the value to the Library of Congress and the larger community of expanded cooperative programs, including the U.S. Cataloging in Publication Cataloging Partners Program (expanded to include 33 partner institutions) and the Program for Cooperative Cataloging (expanded to include 957 partner institutions)

o Completion and assessment of the first pilot production project using the new BIBRAME encoding scheme for bibliographic data

o Full implementation and fine-tuning of the Overseas Field Office Replacement System software in all of the Library's overseas offices in Brazil, Egypt, India, Indonesia, Kenya, and Pakistan.

A. Building the National Collection

Develop the collection

The ABA Directorate worked closely with the Collection Development Office and the Library's recommending officers to develop the national collection both by improving the permanent collections of the Library of Congress and by ensuring that materials received but not selected for the permanent collections were diverted to appropriate workstreams. Two fulltime selection librarians in the U.S. Arts, Sciences, and Humanities Division (USASH), with part-time assistance from eight others in ABA, reviewed 115,950 books and 157,355 serial items transferred from the U.S. Copyright Office and 101,458 books submitted to the Library in compliance with Cataloging in Publication (CIP) and Electronic Preassigned Control Number (EPCN) program requirements. They selected those materials that were suitable for retention in the Library's permanent collections and forwarded the remainder to other workstreams in ABA. The monographs and serials received through copyright and CIP represent the current creative output of U.S. authors, researchers, and scientists and have historical importance, as they document the daily lives and culture of the American people. Through the titles selected from Copyright, ABA helped built strong collections in all subject areas.

The e-Deposit Program made strides in advancing its e-serials goals. The Library Services (LS) manager, a USASH section head, continued to work collaboratively with the Copyright Office to promote regulatory changes, build upon the special relief agreements with large publishers, and identify desired works needed for the collection. At the end of the year, the LS manager chaired two working groups that were created to develop workflows to manage digital content acquired through the expansion of eDeposit to eBooks and digital sound recordings. The Library began working towards a regulatory change that would allow the demand of online-only e-Books via Copyright mandatory deposit. This change was similar in theory to the regulatory change that took place in fiscal 2010 permitting the demand of e-serials, also through Copyright mandatory deposit. While the process moved forward on revising the Copyright Office regulation, an e-Deposit e-Books Working Group composed of stakeholders from ABA, Collections & Services, ILS Program Office, Office of the Chief Information Officer, and the Copyright Acquisitions Division was formed to begin planning for the demand and receipt of this material.

Adopting the principle of a distributed national collection, the overseas offices were more selective this year in acquiring for the Library materials in non-print formats and in subject areas such as fiction, poetry, and tourism, while refocusing efforts to acquire materials of interest to Congress and of lasting relevance for history and foreign affairs. The offices helped to develop the Library's digital collections with Web archiving projects, such as the ongoing project *Brazil Cordel Literature Online*. They also acquired materials in the PDF online format. The New Delhi Office obtained permission to acquire and preserve publications from two sources: the Indira Gandhi Institute of Development Research, Goregaon (East), Mumbai; and the Indian Council for Research on International Economic Relations, India Habitat Centre, New Delhi.

Staff throughout ABA worked tirelessly to fill gaps in the collections, by working with our exchange partners and vendors to claim missing serial issues, reviewing monograph duplicate lists, and developing fruitful relationships with donors and vendors. Staff used their special language skills and personal contracts to build collections. For example, the Southeast Europe Section head prepared lists of materials about the culture and political life of the Turkish minority in Bulgaria. She also established contact with a member of the Civic Council of Reformist Bloc, the first openly gay Bulgarian politician, who provided a list about gay life in Bulgaria and began work on a list of law materials on the subject of LGBT rights in Bulgaria.

Acquire designated materials

Employ the most cost-effective modes of acquisition to acquire materials in all formats

In fiscal, 2016 ABA purchased 667,923 items for the collections, a decrease of 6.7 percent compared to the 717,339 items purchased in fiscal 2015. The directorate also acquired 117,086 collection items through exchange, unsolicited gift, or transfer from other federal agencies, a decrease of 18.6 percent from the 143,850 items obtained by these methods the previous year, reflecting both intentional reductions by the overseas offices and continuing declines in government publishing. Items added to the Library collections through receipt from the U.S. Copyright Office or Cataloging in Publication and International Standard Serial Number programs totaled 369,425, nearly identical to the previous year's 371,164. The 1,154,434 collection items acquired by the ABA Directorate—essentially the same level as the 1,143,335

acquired in fiscal 2015--greatly strengthened the general, law, area studies, and special-format collections that are important to researchers and the Congress. To accomplish this, the ABA production divisions—African, Latin American, and Western European (ALAWE); Asian and Middle Eastern (ASME); Germanic and Slavic (GS); Overseas Operations (OVOP); US/Anglo; U.S. Arts, Sciences, and Humanities (USASH); and U.S. Programs, Law, and Literature (USPRRL)--used all methods of acquisition, enhanced by staff's own knowledge of languages, other cultures, and global publishing trends.

The Library of Congress employs several methods of acquisition that do not require purchases. Of these, acquisition through copyright deposit yielded the largest number of new collection items in fiscal 2016. Books transferred by Copyright continued to decline, from 137,100 in fiscal 2014 and 133,000 in fiscal 2015 to 115,950 this year, perhaps reflecting a shift to electronic formats. However, the 19,334 electronic serial issues obtained through eDeposit represented an increase of nearly 17 percent over the 16,558 electronic issues acquired the previous year. More than 150,000 print serials also arrived in ABA from Copyright; at year's end only 4,000 remained in work on hand. The USASH Division and the U.S. Programs, Law, and Literature Division (USPRLL) acquire, select, and process these materials as well as most books submitted by publishers as part of Cataloging in Publication program requirements.

Some materials published in other countries are available at no charge via copyright deposit and the CIP Program. Copyright deposit is required of non-U.S. publishers if they distribute widely in the U.S. and they have a "presence" or offices, in the U.S. A number of British, Canadian,

and western European publishers deposits their publications with the U.S. Copyright Office. The ABA divisions partnered with the Copyright Acquisitions Division (CAD) to develop a new workflow ensuring that titles from known in-scope publishers were first claimed by CAD before ABA instituted a purchase. The success of this workflow would be evaluated in the coming fiscal year.

The Cataloging in Publication (CIP) program also supplied tens of thousands of books and e-books for the Library's collections. The CIP program provides cataloging, according to best practices, in advance of publication for books judged most likely to be widely acquired by American libraries. Its sister program for Electronic Preassigned Control Numbers provides an "LCCN" number for books that are self-publisher or ineligible for CIP. Publishers who request CIP or EPCN cataloging are asked to send ABA a copy of their books, once published. This enables ABA to make any necessary corrections in the prepublication record and to acquire collection items. In fiscal 2016, a total of 96,792 print books and 2,367 electronic books were received from U.S. publishers through the CIP and PCN workflows. Using 2015 data provided by the editor of the American Library Association *Library Materials Price Index,* the retail value of these receipts was more than $9.6 million.

A significant new acquisitions initiative managed by the CIP Program, with support from the Integrated Library System Program Office and the Office of the Chief Information Officer (OCIO), is the CIP E-book Program, an important contribution to moving the Library of Congress forward as a resource for digital content for the nation. The CIP Program had a target to create 5,000 e-book metadata records in fiscal 2016. By year's end, 12,062 bibliographic

records for CIP e-books had been created, more than double the targeted goal, and 727 new publishers had been added to the Program. As part of the requirements of joining the CIP E-book Program, publishers must send to the Library the e-books for which the Program has provided metadata. In fiscal 2016, the Library received 2,367 e-books through the CIP E-book Program, compared to 4,244 in fiscal 2015; however, the fiscal 2015 figure includes a very large contribution of e-books from a single publisher that submitted its complete inventory of e-titles in that year. At year's end, the Program anticipated a large increase in the quantity received in fiscal 2017, as the Program was planning to implement a new system for publishers to send the Library their e-books more easily.

The Library continued its robust exchange agreements with more than 4,000 institutions in 115 countries, obtaining 72,298 collection items in fiscal 2016 through this cost-effective method that barters excess Library items for desired items. Although the number of items acquired via exchange has decreased steadily, the method enables the Library to obtain materials that often are not available commercially. Exchange acquisitions actually increased from several countries in Eastern Europe and the Middle East this year. The Library acquired increased materials on exchange from its partners in Serbia (5,258 titles), Croatia (2,823 titles), Bulgaria (1,070 titles) and Slovenia (431 titles).

The Library once again renewed its membership in the Elektronische Zeitschriftenbibliothek (EZB). There are now 609 institutions that participate in the EZB, a union catalog of electronic serials in Europe and the U.S. In the past year, the EZB added over 5,400 new serial titles for a

total of 85,200 titles. In addition, approximately 88,000 aggregate listings are also available. Serials Solutions continued to maintain the EZB titles through regular updates of links and holdings. All of these titles were accessed through the EZB link in EROC, the Library of Congress Electronic Resources Online Catalog. Monthly statistics continued to show a regular and steady usage of titles, especially in the areas of economics, political science, medicine, information technologies, and history.

Transfer of collections from other government agencies is also a form of exchange that is without cost to the Library. The U.S. Government Documents Section (GovDocs) in US/Anglo is responsible for the acquisition of materials obtained from Federal, State, City, Local, and Tribal governments within the United States. In fiscal 2016, GovDocs acquired 76,540 items, a decrease of 53 percent compared to 168,514 items in fiscal 2015. Of these items, 21,736 were forwarded for retention in the Library's collections, a 32 percent decrease from fiscal 2015. These declines reflect the change in the Library's overall retention policy, which now calls for retaining only one copy for the general collections in most subject areas; and the continuing trend of state governments to move to electronic only access and distribution of their publications.

Unsolicited gifts were also a source of new collection items. In fiscal 2016, ABA processed more than 6,000 such items and selected about 900 for the collections. In total, ABA acquired 117,086 new collection items through exchange, gift, or government transfer.

Purchase acquisitions were often the sole means of acquiring designated materials for the Library. The ABA Directorate expended a total of $26.5 million for collections in fiscal 2016, compared to $22.5 million in fiscal 2015, $24.5 million in fiscal 2014, $20.5 million in fiscal 2013, and $21 million in fiscal 2012. During the year, ABA expended $19.8 million chiefly using the Library's GENPAC (General Purchase/Acquisitions and Cataloging) fund, under which most acquisitions for the Library collections are made, and the LAW fund under which acquisitions for the Law Library of Congress are made. In a virtuoso performance in coordination with the Library's custodial divisions, the Office of General Counsel, Office of the Chief Financial Officer, and the ILS Program Office, during the final week of the fiscal year the ABA Acquisitions Fiscal Office (AFS) and a team led by US/Anglo obligated $6.7 million, chiefly in end-of-year reprogrammed appropriated funds, to purchase rare, long-desired items for the collections. Negotiated prices were reduced by $1,053,055.79 through the collaborative efforts of ABA and Collections & Services staff, achieving a cost savings of approximately $1 million on 78 end-of-year purchases.

Over the past three fiscal years, there has been an increase each year in the amount of GENPAC funds spent on e-resource subscriptions versus print subscriptions. For the first time in fiscal 2014, the amount spent on GENPAC e-resource subscriptions surpassed the amount spent on print subscriptions. Fiscal 2016 saw the biggest increase to date with e-resource subscriptions for the general collections costing $3,365,051, or over 50 percent more than the $2,221,385 expended on print subscriptions. However, the amount spent on Law subscriptions has not yet shifted to e-resources.

The ABA Directorate purchased 91 new e-resource titles, five more than in fiscal 2015. In fiscal 2016, $4,974,867.48 were spent to purchase direct access and online access electronic resources, both serial and monograph. This was a decrease of $702,467.05 from the $5,677,334.53 spent in fiscal 2015, although more new titles were acquired. The purchases necessitated the negotiation of 25 license agreements.

The US/Anglo U.S. Serials and Microforms Section negotiated prices for two major purchases, *Archives of the Soviet Communist Party and Soviet State (documents from 1903-1992) published 1993-1996* and *Incunabula: The Printing Revolution in Europe, 1455-1500, units 7-10.* The vendor agreed to reduce the price of the first order originally quoted at $433,810.00 to $295,000.00. In the second case, Primary Source Media agreed to honor a 50 percent discount offer that had expired three months before the order was placed. As a result, the price of $34,000.00 was reduced to $17,000.00.

The Africa Section of ALAWE continued its collaboration with the Council of American Overseas Research Centers (CAORC), to purchase hard-to-acquire monographs and serials from areas of West Africa that present challenges to most approval plan vendors in terms of traveling to those nations. (Approval plans are agreements with vendors to purchase titles that meet a Library-supplied collecting profile; the Library has the right to approve or disapprove the chosen titles. Approval plans offer substantial price discounts compared to ordering titles one by one.) The Library and other U.S. research institutions have long had considerable difficulty in obtaining materials from West Africa. Since 2011, CAORC's network of bibliographic representatives located in West African countries has acquired materials on behalf of the Library.

In coordination with the West African Research Association (WARA) and the West African Resource Center (WARC), CAORC has acquired titles for the Library from eleven countries: Benin, Burkina Faso, Ivory Coast, Gambia, Guinea Conakry, Mali, Niger, Chad, Senegal, Sierra Leone, and Togo. This year, CAORC acquired 5,153 items, including hundreds of legal publications based on targeted lists directed for purchase to bibliographic representatives in West Africa via the WARC coordinator in Senegal. The 5,153 items represented a decrease of 11.6 percent from the 5,835 purchased in fiscal 2015, but a large increase over the 4,864 purchased in fiscal 2014. Of the 17,344 items purchased by the Africa Section this year, 30 percent was acquired through the CAORC contract.

All divisions continually monitored the performance of their approval plan vendors, with the result that new vendors were identified for the coming fiscal year for Australia, China, Colombia, and Scotland.

The Africa Section also increased its acquisition of non-purchase materials from Africa, from 2,215 items in fiscal 2015 to 2,483 in fiscal 2016. The ALAWE Benelux, France, and Italy Section also assisted in building the Library's African collections cost-effectively by using the general approval plan for France to acquire 618 relevant titles published in France.

Ensure that materials that are out of scope for the Library's collections are appropriately offered to authorized exchange partners and eligible libraries

The Library's six overseas offices in Cairo, Egypt; Islamabad, Pakistan; Jakarta, Indonesia; Nairobi, Kenya; New Delhi, India; and Rio de Janeiro, Brazil, are a unique resource providing

collection building, cataloging, and preservation services for materials from regions where the publishing and book trades are not well developed. The six offices obtained 293,075 items on a cost-recovery basis for the more than sixty libraries that participated in the Cooperative Acquisitions Programs. Additionally, the overseas offices acquired 198,267 items for the Library's collections, compared to 213,363 in fiscal 2015.

Exchange is a cost-effective method of obtaining desired items for the Library's collections as well as sharing out-of-scope or excess materials with more than 4,000 other institutions throughout the world. This year, ABA offered 159,673 items on exchange, including 128,939 items published and shipped by the U.S. Government Publishing Office in the International Exchange Service, administered within the US/Anglo Division. The Web-based Duplicate Materials Exchange Program in the ABA Acquisitions Fiscal and Support Office (AFS) allowed exchange partners to place orders online; for those without Internet capabilities, other ABA sections managed the exchanges.

The Library's Surplus Books Program in AFS distributed 90,560 excess items to educational institutions, charities, and libraries in the United States. Surplus Books selections by Congressional offices totaled 43,729 items that often helped stock libraries in Congressional districts.

The successful Additional Service Copies (ASC) Program completed its second year of full implementation in fiscal 2016. This year, AFS prepared 131,267 un-needed second copies for re-purposing to two charitable organizations, Books for Africa and Bridge to Asia. Of these, 100,369 were additional service copies were withdrawn from the Library's collections and 30,898 were second copies newly submitted for copyright registration.

Many items received in ABA turn out to be unsuitable for institutional or library use. In 2016 a total of 990,497 such items were forwarded to the General Services Administration for disposal.

B. Stewardship of the National Collection

Collection storage

To protect rare materials in the custody of US/Anglo for processing, the US/Anglo Rare Materials Section stored material in secured vaults in the James Madison Memorial Building and the Rare Book and Special Collections Division in the Thomas Jefferson Building. Staff also transported or arranged for the transport of high-value, rare or fragile "gold" and "silver" items in appropriate security trucks when leaving work and vault areas. The US/Anglo Division also monitored and managed collection receipts and temporary storage conditions for special collections arriving for all ABA divisions via a special mailing address. Packages received via this process were screened using a specialized protocol to maintain the condition of rare and unique collection materials that might be damaged by conventional shipping and mail screening methods.

Collection security

In fiscal 2016, ABA provided inventory control to 591,854 new collection items. In a special overtime project from May through August, 33 staff members provided inventory control and Library of Congress labels to more than 100,000 serials, greatly increasing the security of these often-fragile and hard-to-replace materials. A similar success occurred in the ASME Division, which received 120,000 serial issues from the overseas offices and provided inventory control to 95 percent of them during the year. Physical security of in-process collections also improved this year as doors to its work areas were equipped with proximity readers (card readers), allowing only authorized personnel to enter. Library technicians in Washington applied security targets and/or Library ownership marks to 206,857 incoming print items and 2,954 reels of microfilm. The overseas offices also provided ownership marks and security targets.

Preservation and collections-support services

All ABA divisions that acquire collections from other countries participated in the Foreign Newspaper Project launched by the Collection Development Office this year to address the significant challenges confronting the Library's foreign newspapers collecting program. The ABA divisions provided information about costs and active versus inactive subscription status for each foreign newspaper received by the Library in print or on microfilm. The overseas offices participated, with the New Delhi Field Director coordinating with the Cairo, Islamabad and Nairobi offices, in two of the initial objectives of LC's Foreign Newspaper Project: (a) produce a preliminary list of titles currently received in print and on microfilm; (b) prepare a plan to eliminate the current microfilming arrearage. The Rio Office updated inventory information for newspapers from Brazil, Uruguay, and Guyana.

In fiscal 2016, the offices participated in the International Internet Preservation Consortium (IIPC) web archiving project to preserve sites related to the 2016 Summer Olympics held in Rio de Janeiro. The Rio Office contributed 599 sites, while other overseas offices nominated an additional 151 sites covering Olympic teams from 58 countries. Many of the countries covered by the offices are not members of IIPC and have not been included in their Olympics Web archives previously.

The eDeposit program manager continued to document and expand the Recommended Formats Statement for materials. As a result, the statement now includes web sites as a distinct creative category and has increased in value to digital preservation practitioners. In addition, the Library intended to use it as the basis for the revisions to the Copyright Best Edition Statement resulting from the expansion of the eDeposit Program. The Statement has also been included in the Digital Preservation Coalition's Digital Preservation Handbook and has been identified as a resource by the Association for Library Collections and Technical Services (ALCTS) of the American Library Association (ALA). The Statement has also encouraged interest in the Library's involvement in the preservation of digital architectural plans by members of the architectural community.

C. Creating, Managing, and Distributing National Collection Metadata

Produce metadata for Library use

In fiscal 2016, the ABA cataloged 251,946 items on 214,845 new bibliographic records, including 1,260 archival records for the National Union Catalog of Manuscript Collections. The number of items cataloged exceeded the 229,412 items cataloged in fiscal 2015 by over nine percent, while the number of completed records nearly equaled the 218,014 completed the previous year.

Of the 214,845 completed records, copy cataloging accounted for 69,707 compared to 72,873 in fiscal 2014, a decrease of a bit over four percent. Approximately half of ABA's copy cataloging was for foreign publications. Original cataloging, the category of most interest to other libraries that depend on the Library for much of their cataloging data, accounted for 145,138 records, almost identical to the production of 145,141 the previous year. The cataloging metadata that ABA produced are available everywhere in the Library of Congress Catalog on the World Wide Web and are distributed via the Library's Cataloging Distribution Service and bibliographic utilities for the benefit of the entire library community.

In a focused special effort from May 2015 until August 2016, four staff in the China Section of ASME completed the cataloging, using copy when possible, of 11,240 titles that were acquired in two sets, "Minguo ji cui" and "Minguo jicui xu", in fiscal 2014. These are collected reprints of publications originally dating between 1912 and 1949, the period when China was a republic.

The directorate improved the Library of Congress catalog in several important ways this year. ABA produced 70,852 new name authority records to support searching with standardized search terms, a decrease of five percent from the 74,621 created in fiscal 2015. An additional 68,330 authority records were modified, generally by the inclusion of cross-references. The directorate added 3,084 new authorized Library of Congress Subject Headings or genre-form terms, compared to 3,637 added in fiscal 2015. The ABA Directorate also revised 418,711 bibliographic records to update search terms to contemporary language.

The continued expansion of cataloging in the Library's overseas offices helped the directorate maintain its high production levels. The New Delhi Office sent 65 percent of its print acquisitions to Capitol Hill in shelf-ready condition – that is, with complete cataloging, shelflisting, and physical processing – beginning in April. By year's, end all offices reported independence in some aspects of cataloging and were planning training to achieve full independence in the coming fiscal year.

Effectively purchase or license metadata to ensure availability of metadata for all languages, subjects, and formats in the collection

The USPRLL Division continued effectively to use publisher-supplied metadata to enhance bibliographic records and provide additional access points for users to retrieve information. These publisher-supplied metadata are freely available to the Library. The CIP Program continued to use ONIX metadata provided by publishers, when available; 9,330 of the ECIPs received by the Library, representing seventeen percent of the total, included ONIX metadata.

The ALAWE Division purchased 6,645 bibliographic records from its vendors for Italy, France, and Spain. The records accompanied materials purchased in shelf-ready condition with most physical processing completed. Two contracts during the year brought contractors on-site in the Madison Building to catalog backlogs of English-language science and social sciences and several foreign languages. The English-language cataloging contract did not produce a work product after June, and at year's end termination proceedings were underway, with a view to awarding a similar contract the following year. The ASME Division purchased some cataloging in spreadsheet form that was then loaded into the Library's ILS.

The ABA Directorate licensed metadata from Serials Solution to provide access to most of its electronic resources represented in the Electronic Resources Management System, the technical processing layer of the Electronic Resources Online Catalog. ABA licensed 982,000 bibliographic and holdings records for the ERMS, while ABA staff provided additional bibliographic and inventory metadata and resource records for trial subscriptions.

Contribute to the production of metadata for use outside the Library

Maintain and participate in cooperative cataloging programs

This fiscal year saw the fiftieth anniversary of the Children's and Young Adults' Cataloging (CYAC) Program, now administered in the USPRLL Literature Section. The CYAC Program is one of the Library's oldest programs and one of a few that focuses specifically on the needs of school and public libraries, an important constituency for the Library and members of Congress. This was also a year marked by high production for the CYAC Program, with CYAC subject terms and annotations created for 2,421 titles, twenty percent more than in fiscal 2015.

The total number of ECIP galleys sent by publishers to the CIP Program increased by seventeen percent, to 55,807. These submissions resulted in metadata for titles most likely to be acquired in the nation's 115,000 libraries.

The Electronic Cataloging in Publication (ECIP) Cataloging Partnership Program continued to grow with five new partners, bringing the total membership to 34, and the number of ECIP galleys cataloged by the partners increased by five percent. The Program enables the Library to enhance its work-product with the expertise of skilled librarians resident in libraries of all types throughout the nation. The Preassigned Control Number (PCN) Program also grew with six percent more publishers added and four percent more Library of Congress Control Numbers (LCCNs) assigned.

The ECIP Cataloging Partnership Program added five new institutions and five new subjects/publishers covered by partners. The new Partners were Abilene Christian University, Mississippi State University, the University of Iowa, Southeastern Baptist Theological Seminary, and University of Maryland Libraries. Existing partners expanded their areas of cataloging responsibility to include medieval philosophy, Egyptology, Middle Eastern studies, history of the American South, and publications from the Harvard Education Press *and Harvard Business Review*. The U.S. Government Publishing Office (GPO) was moved into production during fiscal 2016. The ECIP cataloging partners collectively cataloged 7,685 titles in fiscal 2016, an increase of 319 titles over fiscal 2015 production of 7,336 titles.

Under the umbrella of the Librarian's Hispanic Initiative, the CIP Program explored ways to reach out to national libraries in Central and South America to assist them in creating their own CIP programs. Midyear, the CIP Program, with assistance from ALAWE and the Hispanic Division in the Collections & Services Directorate, re-focused its efforts to reach out to U.S. Spanish language publishers. To that end, a Spanish language brochure on the CIP Program and a complete translation of key CIP Program web pages were completed and posted to the Library's public-facing web site. With this work accomplished, fiscal 2017 will see further outreach to U.S. Spanish language publishers.

The Cooperative and Instructional Programs Division (COIN) provided the secretariat for the Program for Cooperative Cataloging (PCC), an international consortium of institutions that catalog to mutually agreed standards and provide standards and training. In fiscal 2016, the PCC grew to include 957 institutional members. The four components of the PCC were the Monographic Bibliographic Record Program (BIBCO), Cooperative Program for Serials Cataloging (CONSER), Name Authority Cooperative Program (NACO), and Subject Authority Cooperative Program (SACO). The BIBCO institutions contributed 57,003 monographic records in fiscal 2016, a decrease of 2,200 records, or a bit over three percent, from the 59,005 BIBCO records contributed in fiscal 2015. The CONSER institutions contributed 17,413 new records in fiscal 2016, a seven percent increase from the number reported in fiscal 2015. The number of CONSER maintenance transactions reported in fiscal 2016 was 23,162, almost fifteen percent lower than the number reported fiscal 2015. The PCC NACO contributions for new name authority records were 198,643, a one percent increase

over the previous year. The changes to new name authority records rose dramatically to 203,213, an increase of 43.72%. New series authority records fell to 9,801 as did series authority changes, to 5,461. NACO contributions exceeded the LC contributions by 163.3%, or 121,858 records, in fiscal 2016. The PCC SACO contributions showed an increase with new subject authority records totaling 1,718, or almost eighteen percent increase, and changed subject records totaling 467 while proposals for new LC Classification numbers totaled 216.

A COIN staff member serves on the PCC Standing Committee on Standards. The work of this committee has a global impact and influences the policy and standards decisions reached by the Library. During the year the committee released revised versions of the *BIBCO Standard Record* and the *CONSER Standard Record* (June); issued a new version of the *PCC Guidelines for Creating Records in Multiple Character Sets* (June); participated in the worldwide review of the IFLA *FRBR-Library Reference Model;* worked with PSD on quarterly updates to the *Library of Congress-Program for Cooperative Cataloging Policy Statements* (112 changed, new, or deleted statements) and the *Descriptive Cataloging Manual* section Z1 (most of the latter resulting from the work of the PCC Series Policy Task Group); formed a PCC Task Group on Supplements and Special Numbers to Serials; and reviewed eight new proposals for RDA relationship designators submitted by PCC members.

The National Union Catalog of Manuscript Collections (NUCMC) provides archival cataloging in OCLC for manuscript repositories that do not have the resources to do their own cataloging, thus exposing "hidden collections" to the American public. Supported by less than one full-time

equivalent cataloger in the COIN Division, the NUCMC program this year created 1,260 archival records supported by authority work and accessioned 594 collections from 61 repositories in 22 states and the District of Columbia. NUCMC continued to provide the Senate Historical Office and the House Office of Art and Archives with copies of bibliographic records describing new or improved access to papers of Members of Congress.

Participate in international networks

The Dewey Program, which supports libraries worldwide that classify their titles in Dewey Decimal Classification (DDC), increased DDC assignments by nineteen percent in fiscal 2016 to 123,367 titles. Of those, 4,357 were assigned through the Auto Dewey program, which automatically assigns the DDC number from Library of Congress Classification through use of a correlation tool.

The ISSN (International Standard Serial Number) Program continued to provide service to the Nation's publishers by assigning ISSN to 5,893 new publications. Forty-five percent of the assignments were made to online resources, many of which were identified as part of the ISSN International Centre's Core e-journals Project. The percentage of new online resources that receive ISSN assignments has remained relatively stable over the last few years, indicating that print serial publications continue to be a significant share of the market.

There was a continued decline in the percentage of ISSN assignments made at the pre-publication stage; seventeen percent of the total ISSNs assigned was to pre-publication titles.

The past year saw an upsurge in requests to have ISSN assigned to subscription databases. These "integrating resources," which differ from serials in having new content seamlessly added to the existing content, have been eligible for ISSN since the ISSN standard was revised in 2007. The increase in ISSN applications may be due to recognition that continuing resources are eligible for ISSN during a time when ISSN has become mandatory in transactions throughout the continuing resources supply chain. The ISSN Program continued the Independent Voices Project, which began in fiscal 2015 and encompasses digitized versions of alternative press titles from the 1950s through the 1970s. The Taylor & Francis monographic series project neared completion. At year's end, 458 ISSN have been assigned with the assistance of a Taylor & Francis contractor who provided base records that ABA staff updated with ISSN elements. The Section staff members also continued to work on the ISSN International Center Core e-journals project.

Contribute to metadata standards

The Network Development & MARC Standards Office (NDMSO) is the focal point for technical standards, linked data exploration, and related planning in Library Services. In fiscal 2016, NDMSO made major progress in developing BIBFRAME, the Bibliographic Framework Initiative to redevelop the bibliographic data exchange environment in order to reap the benefits of newer technology, particularly data linking. With COIN, NDMSO designed and completed a successful BIBFRAME Pilot using components created by the Office and several consultant tools. The Library built on the work and tools developed in fiscal 2015 to begin a BIBFRAME Pilot that enabled input of native BIBFRAME descriptions by about 40 experienced catalogers at the beginning of fiscal 2016. The Pilot was groundbreaking, being a first attempt to have

production catalogers use a linked data oriented system to create bibliographic descriptions. The Pilot continued officially for six months and the results were summarized in a document posted on the BIBFRAME website: *BIBFRAME Pilot (Phase One—Sept. 8, 2015 – March 31, 2016): Report and Assessment* <http://www.loc.gov/bibframe/docs/pdf/bibframe-pilot-phase1-analysis.pdf>. The Pilot achieved its aim and was considered a success.

The following tools and components contributed to the Pilot and to the encouragement of experimentation with BIBFRAME by the community, since they are made available for download on the software sharing site, GitHub:

BIBFRAME model and vocabulary. The input from catalogers participating in testing the system enabled NDMSO to make considerable improvements in the basic model and data element vocabulary. Using the input from the Pilot, from the community via a listserv and GitHub, from expert consultants and from a PCC review committee, a BIBFRAME 2.0 model and vocabulary were developed and published in April. Following that, the specifications for the conversion of MARC data to the BIBFRAME 2.0 vocabulary were begun in preparation for a Pilot of BIBFRAME 2.0 in the next fiscal year.

BIBFRAME infrastructure. In fiscal 2016, NDMSO continued upgrading servers and systems to handle new traffic loads anticipated for linked data resolution, label lookup, and other services related to the BIBFRAME project and LC's Linked Data Service (LDS/ID) <id.loc.gov>. An upgrade to the MarkLogic datastore server software to MarkLogic Version 8 was installed and data conversion began. This upgrade will enable the inclusion of native handling of RDF (Resource Description Framework) triples in the database and security updates.

This effort would continue into fiscal 2017 as the new system moves into production. The staging server for LDS/ID will also be upgraded to support the next BIBFRAME Pilot.

BIBFRAME Editor (BFE). Development of the BIBFRAME Editor input tool continued, and was integrated with profiles provided by the Profile Editor. Lookups were also developed for resources within ID that were needed by the Editor. The enhanced BIBFRAME Editor was successfully used in the BIBFRAME Pilot to develop descriptions of library resources using the BIBFRAME 1.0 model and vocabulary. Version 0.2 of the editor was released October 2015. At the end of fiscal 2016, a new version of the editor was under development using the BIBFRAME 2.0 ontology.

BIBFRAME Profile Editor. A BIBFRAME Profile Editor, which was needed to make the BFE flexible for use with different forms of material, was used with the BFE in support of the BIBFRAME Pilot. Version 1.2 of the Profile editor was released later in fiscal 2016, including profiles for Monographs, Serials, Notated Music, Cartographic, BluRayDVD, Audio CD and 35mm Feature Films using the BIBFRAME 1.0 Ontology. Profiles for the BIBFRAME 2.0 Ontology and upcoming new Pilot were under development at the end of the fiscal year.

A contract was let in fiscal 2014 to add the MARC transformation software to Metaproxy, a tool used by the Library to enable its Integrated Library System to process Z39.50 and SRU (Search/Retrieval by URL) protocol queries and return records in various exchange formats. The software, which adds BIBFRAME to the possible output formats, was developed in fiscal 2015 and installed in fiscal 2016. This work led to the enhancement of the SRU standard search protocol and its query language Contextual Query Language (CQL). These standards are

maintained by the Library of Congress and used extensively by LC and the library community for information retrieval.

Following on an earlier study exploring the modeling of audiovisual (AV) material in BIBFRAME, the Library commissioned a study, published in early fiscal 2016, evaluating the existing state of technical, structural and preservation metadata for AV material in the bibliographic environment. The study made recommendations for additional information needed in BIBFRAME for AV related events. During the year, analysis was done to incorporate some of the recommendations including a detailed and new view of the role of events in the description of AV material.

In other metadata standards development, NDMSO expanded the Linked Data Service ("id.loc.gov"), which averages over 600,000 page view and machine-only visits per day, to support the BIBFRAME Pilot. LDS/ID makes vocabularies available in RDF and other semantic-oriented formats. The Office completed and published the XML scheme for the new PREMIS (Preservation Metadata Implementation Strategies) version 3.0. PREMIS is a standard for metadata to enable preservation of digital material used worldwide. The Office augmented MADS (Metadata Authority Description Schema) to allow many more "Real World Object" elements to be conveyed, building toward a more robust division between authority labels and real object description information. Throughout the year, NDMSO supported the MARC 21 formats that encode billions of legacy records in library catalogs.

NDMSO continued to represent the Library in several organizations responsible for standards, formal and de facto. These included the principal national and international standards bodies: the American National Standards Institute (ANSI) and its affiliate, National Information Standards Organization (NISO); the International Organization for Standardization (ISO); and the World Wide Web Consortium.

The ISSN Program in USPRLL participated in planning to revise the ISSN Standard, ISO 3297: 2007. The standard was balloted by ISO as part of its five year review cycle. The ballot options were to approve, revise, or withdraw. The ISSN International Centre advocated for revision of the standard, the better to accommodate electronic resources; align ISSN metadata with other bibliographic standards; explore assigning ISSN at different levels of granularity such as an ISSN for a "serial family" or a serial's subpart; and update the standard the better to enable the ISSN to function as a key identifier in the linked data environment. The vote to revise the standard was approved and a working group will be convened in 2017.

The director of the US ISSN Center participated in the International Federation of Library Associations and Institutions (IFLA) ISSN Review Group, which develops technical ISSN policies and procedures and documents them by updating the *ISSN Manual*.

The Policy and Standards Division (PSD) continued to play a key role in the development of RDA: Resource Description & Access, the cataloging standard that ABA and most Library of Congress cataloging units implemented in fiscal 2013. A cataloging policy specialist represented the Library of Congress on the international RDA Steering Committee, while another PSD

member served as chair of the RDA Examples Group. With each quarterly release of the online RDA Toolkit, PSD and COIN updated the *Library of Congress-Program for Cooperative Cataloging Policy Statements (LC-PCC PSs)* in conjunction with the PCC Standing Committee on Standards. The director for ABA was the Library's representative to the RDA Board.

In response to requests from constituents who consider the phrase "illegal aliens" to be pejorative and disappearing from common use, in March PSD proposed that the headings **Aliens** and **Illegal aliens** both be replaced. If approved, the heading **Aliens** will be replaced by **Noncitizens**, which is currently a Used For (UF) reference to **Aliens**. **Illegal aliens** will be replaced by two headings: **Noncitizens** and **Unauthorized immigration**. Other headings that include the word "aliens" or the phrase "illegal aliens" (e.g., **Church work with aliens; Children of illegal aliens**) will also be revised.

The Library of Congress accepted comments from the library community and the general public through September 20th. Comments were accepted only through an online survey. Review of the comments by the Policy and Standards Division was ongoing at year's end. Final disposition of the proposals was to be announced early in fiscal 2017.

These proposals have generated interest in the Congress. The fiscal 2017 House Legislative Branch Appropriations Act (H.R. 5325) report includes the following instruction: *To the extent practicable, the Committee instructs the Library to maintain certain subject headings that reflect terminology used in title 8, United States Code.* The terms "illegal" and "alien" are frequently used together in title 8.

The issue was a key point of debate in consideration of the fiscal 2017 appropriations bill in the House. Several Members suggested amendments, raised points of order, and offered other motions to remove the language or prevent the legislation from moving forward. None of these suggestions was accepted by the House, and the bill passed in the House on June 10.

Separate legislation was introduced by Rep. Diane Black of Tennessee to retain the headings in the current form. H.R.4926, the Stopping Partisan Policy at the Library of Congress Act, states, "The Librarian of Congress shall retain the headings 'Aliens' and 'Illegal aliens', as well as related headings, in the Library of Congress Subject Headings in the same manner as the headings were in effect during 2015." The bill has been referred to the Committee on House Administration.

Manage metadata

Develop ways to increase use of metadata

CIP Program staff continued to work with their colleagues in the ILS Program Office and the Office of the Chief Information Officer in the continued development of workflows to ingest new e-book content from the nation's most significant publishers for the Library's permanent collections. A major effort of the CIP Program this year was to develop use cases and recommendations for how the Library can provide access to e-books in the future. The recommendations will be finalized and submitted to Library management in fiscal 2017.

The CIP Program continued to enhance records through the inclusion of publisher provided summaries, subject terms and annotations for children's literature, and tables of contents within bibliographic records for newly published U.S. titles. The ECIP Table of Contents feature that enables catalogers readily to add a Table of Contents note to a bibliographic record was used to enhance 20,706 records this year, an increase of fifteen percent over the previous year's 17,930. Additionally, USPRLL's Law Section digitized tables of contents for 3,838 high priority legal titles, and the overseas offices added tables of contents to more than 1,500 records.

The ISSN Network, of which the U.S. ISSN Center is a member, approved a new strategic plan that will expose part of the ISSN Register as linked open data, and enhances ISSN records through addition of subject metadata and license information. The strategic plan also allows national centers to begin charging for ISSN assignments on a cost recovery basis. The Office of the General Counsel determined that the Library does not have Congressional authorization to charge for ISSN. It was agreed to by Library management that the Library continues to see ISSN assignment as a public good that should not be charged.

An ABA cataloging policy specialist served on an ad hoc Library Services group charged with migrating metadata for LC holdings from legacy systems into the Integrated Library System. The work involved analysis of source data (MARC data, non-MARC data, spreadsheet data, etc.), conversion to MARC when necessary, clean-up of relevant data, boilerplate additions of specified data including local data, and set-up to create holdings and item records. In this fiscal year, the group migrated two files for the American Folklife Center (9,404 records), one file for

the Geography & Map Division (1,605 records), and four files for the Prints & Photographs Division (39,752 records).

D. Sharing the National Collection

Provide access to the collection

Share collection knowledge

NDMSO continued to support the Internet activities of Library Services through assistance to offices and individual webmasters in the service unit: Providing web metrics, providing maintenance of web databases and online forms, offering design and usability assistance, and acting as webmaster for several key Library program areas. NDMSO led the conversion for Library Services' 8,000-plus digital content files from Real Media to MPEG after a sudden cessation of support for Real Media at the Library because of security concerns, thus saving the content from extinction. Staff in NDMSO also launched three online presentations for the Veterans History Project, one documenting the twenty-fifth year since the Persian Gulf War. They assisted the Poet Laureate in creating a particularly challenging web presentation that combined videos with poetry by the Poet Laureate, and supported multiple other Library Services units in their web presentations. In fiscal 2016, NDMSO continued to carry out web production activities for fourteen key Library Services web sites, both on the public server and those limited to internal audiences. Also, NDMSO maintained web sites for areas of the service unit where there are no local webmasters available.

Enabling Infrastructure

Align organizational structure and staff resources with strategic priorities

The USPRLL Division merged two sections, the Cataloging in Publication (CIP) and Dewey sections, effective in February. The merger allows the staff in the new CIP and Dewey Section to work better together on preparing descriptive and subject metadata for over 50,000 electronic title galleys received from more than 5,300 U.S. publishers annually at the Library. The merger will facilitate creation of innovative products and services for their clienteles. During the year, cross-training began as the CIP program specialists learned to assign Dewey Decimal Classification and the Dewey classifiers learned about Library of Congress Classification and Subject Headings.

The ERMS Pilot Team, which had been in existence since November 2006, was disbanded and a new ERMS Liaison Group was founded that had representatives from throughout ABA. With the increasing amount and scope of digital materials that the Library was now receiving, centralized processing of such materials was no longer feasible. Responsibility for the processing and management of digital materials should be assumed by the appropriate acquiring divisions. The Pilot Team members returned to their permanent sections, although US/Anglo would remain the headquarters for digital processing expertise in ABA.

Three other mergers were being considered at year's end. In July, the director for ABA announced intentions to merge PSD and COIN, two divisions that carry out related and often overlapping tasks. Points of conversion between the two divisions include their focus on standards; on sharing cataloging policy decisions; on responding to queries from the cataloging community; on interacting with internal and external constituents as LC experts; on providing training and briefings; and on producing/maintaining documentation. A merger team chaired by

the chief of COIN drafted three possible organizational models for the merged entity and submitted them to the director. The director also intended to merge the Acquisitions Fiscal and Support Office with the Washington staff of the Overseas Operations Division, since both concentrated on fiscal operations. Additionally, the US/Anglo Division submitted a reorganization plan to merge the Government Documents Section with the U.S. Serials and Microforms Section. Such mergers ensure that every section has a permanent supervisor and that functions are not duplicated in more than one section.

Although COIN had only one senior instructor during the entire fiscal year, it offered 857 slots in training classes, of which Library Services staff occupied 707. The ABA Directorate was the largest consumer of COIN courses, taking 410 seats in the classes. In Library Services, 288 staff members took at least one course from COIN. The instructor spent 575 hours in course development time for both non-web and web classes, and 103 sessions of 18 unique courses were presented. COIN designed and taught 28 instructor-led courses, each of three or more hours duration; three of these were designed solely for eLearning. All directorates within Library Services had some of their training needs met by COIN.

COIN staff joined forces with NDMSO and PSD to design and develop BIBFRAME training materials for the 45 participants in the LC BIBFRAME Pilot.

Other divisions in ABA also provided professional training. A PSD cataloging policy specialist worked with ALAWE and ASME to develop a training plan to bring the overseas offices to full

shelf-ready cataloging. The US/Anglo Division provided extensive training to detailees from ALAWE and ASME on acquisitions work in the ERMS and to detailees from four ABA divisions on other ERMS processing, in order to mainstream ERMS work in all the production divisions. The US/Anglo and USASH divisions each offered career enhancement or learning opportunities for technicians to learn or observe librarians' work. The USPRLL Division shifted some descriptive cataloging of ECIPs to technicians, freeing librarians' time for more complex cataloging.

This year, the ABA Directorate was very fortunate to receive approval to hire nearly 45 staff members, including supervisors for the CIP Technical Team (USPRLL), Science, Medicine, and Agriculture Section (USASH), Law Section (USPRLL), and U.S. Monographs Section (US/Anglo). The directorate also hired thirteen librarians, office staff, and technicians, instructors, program coordinators, and digital project coordinators. Although many of the positions were filled from within the Library and therefore resulted in new vacancies, ABA did gain a number of librarians from other institutions who brought fresh skills and perspectives to the directorate. The training that was developed in fiscal 2016 would be in demand again in 2017 as ABA welcomed so many new colleagues.

Create and maintain infrastructure to meet strategic priorities

The Overseas Field Office Replacement System (OFORS) was fully installed in all six overseas offices by the close of fiscal 2015. Fiscal 2016 was devoted to fine-tuning the new system and revamping workflows and procedures in order to reap the benefits it offers. OFORS replaces numerous siloed, outdated systems, some still running on the old DOS platform, with a single

system that supports initial bibliographic control, ordering, payment functions, fulfillment, binding functions, and inventory control for the Library and for Cooperative Acquisitions Program participants. The OFORS system, a customization of an off-the-shelf integrated library system, meets up-to-date information technology security requirements and enforces the separation of duties that is the basis of accountability in library acquisitions. The use of legacy systems was reduced by 73 percent during the year. The system was developed on contract with a library systems vendor, and throughout the year the Library's Contracting Officer's Representative (COR) and the Office of the Director for ABA worked with the Library Services budget team and the Office of Contracts and Grants Management to ensure contract compliance and adequate funding for Phase Two development.

Despite a two-month setback when the rollover of acquisitions data from fiscal 2015 to fiscal 2016 failed, the field directors agreed that the new implementation was a success by the end of fiscal 2016. OFORS was successfully used for acquisition and processing of collection materials for the Library of Congress and all CAP participants. The completion of Phase Two custom software development in fiscal 2017 promised more efficiencies and better control over all collection materials and financial transactions.

During the fiscal 2015 Field Directors Conference held on the Library's Washington, D.C., campus, it was decided that LOC-Cairo and LOC-Delhi, the two overseas offices that implemented OFORS in fiscal 2014, would be audited by CliftonLarsenAllen (CLA) in 2016. In February, a contract auditor and a manager in the Office of the Chief Financial Officer spent a

week in New Delhi and a week in Cairo. The Library agreed with the findings and recommendations in the resulting audit report, and the two offices quickly acted on those recommendations that were possible to implement. Other recommendations would be implemented in the near future. Most of the recommendations concerned measures that could be taken to ensure full office services until all OFORS functionality was delivered and to improve security of information technology systems in the offices.