

Introduction

This report evaluates two programs: The Library of Congress Cataloging in Publication program and the Library of Congress Preassigned Control Number program. Given the complexity of the CIP program relative to the PCN program, the CIP program is the principal subject of this report. This report also concerns the selection decision-making process to the extent that it relates to the CIP program.

This undertaking is a result of the Bibliographic Access Divisions Strategic Plan for fiscal years 2005-2006. Goal IV, Objective 1 of that plan states the following:

“Evaluate the CIP Program with the aims to reduce costs, speed throughput, and improve selection decision-making while ensuring that the CIP program meets the most important needs of end users, libraries, and publishers. Also review the mission of the EPCN [Electronic Preassigned Control Number] program.”

The Director for Bibliographic Access and Acquisitions, Beacher Wiggins, assigned this task to the Chief of the Cataloging in Publication Division, John Celli, and Assistant to the Director (Bibliographic Access), Susan Morris. They assembled and co-chaired a work group to undertake this review. The work group, known as the CIP Review Group (CRG), included the following:

Diane Barber, Acting Assistant Chief, Cataloging in Publication Division
David Bucknum*, Systems Librarian, Cataloging in Publication Division
John Celli, Chief, Cataloging in Publication Division
Mitzi Collins, Senior Cataloging Specialist, Technology Team I, Arts & Sciences
Cataloging Division
Patricia Hayward, CIP Program Specialist, Cataloging in Publication Division
Oxana Horodecka, Electronic Programs Coordinator, Cataloging in Publication Division
Gene Kinnaly, CIP Program Specialist, Cataloging in Publication Division
Albert Kohlmeier, Technical Assistant to the Chief, Cataloging in Publication Division
Cassandra Latney, Team leader, CIP Publisher Liaison Team,
Cataloging in Publication Division
Susan Morris, Assistant to the Director (Bibliographic Access)
Allyson Nolan*, Senior Cataloger, Anglo-American Literature Team, History & Literature
Cataloging Division
William Vernigor, Team Leader, Copy Cataloging Pilot Team, Arts & Sciences
Cataloging Division
T. Michael Womack*, Senior Cataloging Specialist, Germanic/Scandinavian Team, Social
Science Cataloging Division

(* Promotion to another position or work assignment obligations in other areas required these staff to withdraw from CRG before the findings of this report were determined.)

CRG met regularly starting in April 2005 and investigated a wide range of issues, including workflow, the various modules of the ECIP program, the EPCN system, staffing levels, scope and eligibility policies, the ECIP cataloging partners program, the Publisher Provided Summary program, MeSH and LCSH, genre terms, program enhancements, and other such matters related to the CIP and PCN programs.

CRG obtained input from LC staff and the CIP Advisory Group and consulted a number of documents that might have relevance to its considerations. (See Bibliography)

CRG also developed and implemented three major surveys to obtain input from the library community, publishers, and subscribers to LC's Cataloging Distribution Service MARC Distribution Service. Drafts of the surveys were reviewed and commented upon by the CIP Advisory Group and LC staff.

The information obtained by these surveys played an important role in CRG's deliberations and recommendations. Other factors also played an important role. These include:

- The CIP program mission. The mission of the CIP program is to serve the nation's libraries by cataloging in advance those works most likely to be widely acquired by the nation's libraries.
- Limited resources. The resources available to support all Library of Congress cataloging programs (including the CIP program) have decreased dramatically over the past several years and will continue to decrease for the foreseeable future as staff retirements continue apace.
- Automation. Whenever possible CRG sought to employ automation as a tool to reduce cost, improve efficiency, and/or enhance service.
- Library Services Strategic Plan FY2008-2013. Specifically:
 - Goal 2.A.1 *"Set new standards for the type of information and services needed to find and manage items in the Library's collections, including work in digital formats."*
 - Goal 2.B.4 *"Employ new technologies, including Webcasts and podcasts, to deliver collections to users."*
 - Goal 4.E.1 *"Provide timely services that are responsive to the communities we serve."*
- Directorate reorganization. Two directorates, the Cataloging Directorate and the Acquisitions Directorate, were realigned in 2004. The realignment combined these two directorates and united them as a single directorate, the Acquisitions and Bibliographic Access (ABA) Directorate, under a single senior manager. A

reorganization of the divisions within ABA is now being planned which will affect staffing levels, work assignments, workflow, etc.

- Staff experience. Many catalogers, technicians and CIP staff have worked with the CIP program for literally decades and are a source of invaluable knowledge, not only because they perform day-to-day production activities but also because many were involved in development of the procedures and systems that constitute the CIP program. Automation staff that built and maintain the ECIP and EPCN systems were also an important source of information for this study.

The recommendations of this report, therefore, have been shaped not only by the wealth of information provided by the surveys but also by the knowledge and experience of Library of Congress staff as well as the keen awareness that resources are limited and that efficiencies and cost reductions must be obtained wherever possible. These recommendations were also influenced by the optimism implicit in the goals of the Library Services Strategic Plan that challenges Library managers, staff, and partners to provide not only a service that meets a genuine need, but an enhanced service that meets as fully as possible the expectations of libraries, publishers, and readers that look to the Library of Congress for service, support, and leadership.

The body of this report consists of six additional sections:

- * Background
- * Overview of Data: CIP Survey for MARC Customers
- * Overview of Data: CIP Survey for Libraries
- * Overview of Data: CIP Survey for Publishers
- * Recommendations
- * Nexus - A CIP Strategy for the Future

The Background section provides an overview of the CIP and PCN programs to provide context for the recommendations that follow. The three Overview of Data sections present the data obtained from the three surveys. These include introductory remarks about the data and the manner in which each of the surveys was marketed. The Recommendations section consists of a catalog of recommendations. These recommendations concern a wide range of issues—some focused and specific, some broad policy issues—but all related to the factors (noted in the introduction) that motivate this report. The last section, Nexus - A CIP Strategy for the Future, presents a broad plan for the future of the two programs but especially the future of the CIP program. While the Recommendations section enumerates a number of fixes and improvements, CRG believes that more than a melange of fixes and adjustments is in order to fulfill the requirements of this report. The data obtained in the course of this undertaking has provided ample evidence to CRG that the CIP program plays a critical role in providing Americans with access to the nation's intellectual and creative achievement. Therefore, CRG reviewed the fundamental assumptions upon which the CIP program is built, and recommended a new and expanded vision that CRG believes will enable the CIP program to meet more fully the needs of the library community, while reducing overall costs and more broadly involving the library community for whom it was established, and to whom it belongs.

Background

CIP Program Mission.

The CIP program was established thirty-six years ago to serve the nation's libraries by cataloging, in advance of publication, books widely acquired by the nation's libraries. If the CIP program can catalog these works early in their life cycle and can make the catalog records broadly available, many libraries can benefit. Instead of individual libraries cataloging the same work repeatedly, the work is cataloged once, and literally thousands of libraries -- school libraries in particular -- can use the resulting record and can redirect resources consumed by cataloging these works to other uses.

The catalog records created by the program provide bibliographic control of books in libraries so readers can readily access the books that meet their needs. Because these bibliographic records are also distributed in machine-readable form prior to the book's publication, they also support acquisition, book selection, and book purchasing activities. Many booksellers and large libraries worldwide obtain these records via the Library's MARC Distribution Service and they in turn distribute them in various products and services that alert libraries, book stores, and readers to forthcoming titles. In many instances, these parties place orders for these titles. In this way CIP also serves as a marketing tool for publishers.

CIP cataloging is also used in other ways. Readers and librarians use the CIP data printed in books as a reference tool. The subject access points connect the reader to related subject areas. The classification number (both the Dewey Decimal and Library of Congress classification numbers) indicates the location of the book in hand as well as the location of other books on the same subject. This information is also useful for processing and routing books to appropriate staff when books are first received from the bookseller. And because the book arrives precataloged, it is immediately available to the reader. Little additional processing is required.

The summaries contained in many CIP records also provide a brief and objective statement of the book's content, while also providing additional keyword searching when indexed by local library search engines. The summaries in CIP records for juvenile works are especially valuable for young readers. Many school librarians also use the CIP record to instruct students on how to access information. The CIP catalog record is in many cases the first bibliographic tool that youngsters encounter in an instructional setting.

The CIP Process.

The publisher submits a CIP data application with the accompanying text of the forthcoming (not yet published) book. CIP Division staff review the application. If it is complete and within scope for the program, an initial bibliographic record is created, a Library of Congress control number is

assigned, and the work is forwarded to the appropriate cataloging team for descriptive cataloging, name authority work, subject analysis, LC classification, and Dewey Decimal classification. The completed work is returned to the CIP Division and a version of the catalog record (known as CIP data) is prepared and sent to the publisher. The publisher then prints the CIP data on the verso of the title page.

The CIP program strives to complete CIP processing within two weeks of receipt of the CIP application. This tight time frame is essential to the CIP process. Publishers submit applications when the elements of the book's identity (e.g., title, subtitle, and content) are not expected to change. But this circumstance does not usually occur until the book is well advanced in development and the print date established. If the CIP data is to be printed in the book, the CIP process must occur promptly.

If the work is submitted too early, changes will be likely. If too late, the data will not be printed in the book. Publishers can submit change requests prior to the book's publication. To request a change, the publisher completes a change request form, identifying the specific change requested and attaches a new title page and/or copyright page to evidence the change. Minor changes—e.g., ISBN corrections, proposed publication dates, typos—are made by CIP Publisher Liaisons in the CIP Division. Substantive changes that affect cataloging are forwarded to the cataloging teams.

As soon as the book is published, the publisher sends a copy to the CIP Division. Library staff then compare the book-in-hand with the bibliographic record. This process is known as CIP verification. If changes have occurred subsequent to the CIP cataloging process, the record is edited to reflect these changes. The most frequent changes occur to the title page—changes to the title, subtitle, series, author's name or form of the author's name. The imprint information may also be changed at this time—not because the name of the publisher or imprint has in fact changed but, most often, because the name of the imprint or publisher was presented on the accompanying text carelessly or in an abbreviated manner that did not reflect how this information is printed in the book. Pagination and size are always added at this time as this information is not available when the publisher originally requests the CIP data.

The CIP verification process cannot occur until the publisher sends a copy of the book to the Library immediately upon publication. Many publishers do this promptly, some do not, and some do not send the published book at all. Outstanding books must be claimed. This slows down the verification process and consumes staff resources. Because the CIP record is redistributed after verification occurs, many records are not redistributed in a timely manner. This suggests to some libraries that access the initial CIP record that some books are not yet published when in fact they have been.

Electronic CIP.

When the CIP program was first established, it was a paper-based process. That is, the application forms were paper (four carbon leaves with pressure sensitive address labels), the galley or manuscripts that accompanied the application were paper, and the complete package

was submitted by U.S. Postal Service or, more often, by a commercial carrier such as FedEx or UPS.

In 1999, the Electronic CIP (ECIP) system was implemented. ECIP enabled the publisher to use the Internet to submit applications. The publisher first completed an online Application to Participate form. Upon submission, the form was reviewed by CIP staff. If the publisher was eligible, the publisher was sent an account number and password. This enabled the publisher to access the appropriate form to request CIP cataloging.

The ECIP Data Application form is much like its paper counterpart but includes some additional elements that facilitate processing. The publisher prepares the text file (containing, ideally, the full text, but often only front matter and sample chapters) in ASCII to attach to the application. Before attaching and submitting the file, the publisher adds some basic code to the file such as <tp> to indicate the beginning of the title page and </tp> to indicate the end of the title page.

When the CIP application is received, CIP staff reviews it for completeness and eligibility. They also ensure that the text is coded correctly and accessible. This is done within a module of the ECIP system known as the Traffic Manager.

Acceptable applications are assigned a Library of Congress Control Number and then forwarded to the cataloging team with the appropriate expertise. Another ECIP system module, Text Capture and Electronic Conversion (TCEC), facilitates the descriptive part of the cataloging process. TCEC enables the cataloger to readily copy data elements from the title page, copyright page, table of contents and the application form into a structured catalog record. TCEC also adds some fixed data elements automatically. The subject cataloging and classification work follow. When the cataloging is complete, the application is returned to the CIP Division, and CIP staff then email the completed data to the publisher.

The ECIP system has provided dramatic efficiencies. Postal costs were eliminated. Overall turnaround time has improved significantly. Labor-intensive handling and distribution tasks associated with the paper process were eliminated. Keying was substantially reduced. And all aspects of the program and its workflow are now more tightly controlled. Library staff and publishers can track titles in process.

Of equal importance, the ECIP system has facilitated record enhancement at virtually no cost. The TCEC module enables the cataloger to format the table of contents and move it into a 505 field with relatively little editing. Other automated applications add a link to an 856 field so longer table of contents notes are accessible via the hyperlink when the CIP record appears in an online system.

The ECIP system also led to the development of the Publisher Provided Summary program. Publishers participating in the ECIP program can provide summaries (adhering to CIP criteria) with the CIP Data Application form. Catalogers review these summaries, and if they adhere fully to CIP criteria for summaries (See Appendix B), they add them to the record via the TCEC module. Summaries that do not meet the criteria are deleted. Catalogers do not edit these

summaries and publishers are not permitted to submit changes for these summaries. Publishers strive to apply the guidelines carefully because they know these summaries, when added to the catalog record, not only provide readers fuller information about the content of the work but also greater exposure for the title as the additional vocabulary in the summary is made available on the Internet for keyword searching.

ECIP Partnership Program.

The ECIP system has also enabled the ECIP Cataloging Partnership program that in turn enables other libraries to assist in the CIP cataloging process. This was not possible earlier because the paper CIPs could not be distributed to other libraries and returned to the Library of Congress in a timely manner. The only exceptions to this were clinical medical titles that could be transported by courier service from Capitol Hill to the nearby National Library of Medicine. NLM has for many years performed complete cataloging for clinical medical CIPs. After NLM completes its cataloging, including assigning MeSH headings, the applications and accompanying records are returned to the Library of Congress where Library of Congress subject headings are added.

The ECIP Cataloging Partnership program emulates and is an extension of the NLM model. With the CIP process performed within an electronic environment, geographic and transportation constraints are no longer a barrier to the participation of other libraries in the CIP process. LC staff therefore identified libraries that share the following characteristics:

- (1) the library participates in the Program for Cooperative Cataloging (PCC)—this ensures that the quality of cataloging is consistent with Library of Congress standards;
- (2) the library uses the Voyager ILS system (as does the Library)—this would minimize data transfer problems; and
- (3) the library is associated with a publisher (a university press related to the same institution as the library)—this would minimize publisher concerns while providing practical and perhaps political advantages for both the library and the publisher.

Cornell University and Northwestern University meet these criteria and have now been ECIP cataloging partners for over a year. The University of Wisconsin will begin shortly. The National Agriculture Library also became a partner within the past year following the NLM mode of operation, i.e., NAL catalogs works defined by subject (namely, works about agriculture) rather than by an affiliated publisher.

PCN Program Mission.

A Library of Congress Control Number (LCCN) is a unique identification number assigned by the Library to the catalog record for each book it catalogs. This practice began in 1895 with the assignment of 98-1 to the collected works of Honoré de Balzac. LCCNs played an important role in facilitating the sale and distribution of catalog card sets to libraries. *Publishers weekly*, *Cumulative book index*, and other book trade serials published them as a service to libraries who

in turn used them when completing their card order slips. In 1951, Duell, Sloan and Pearce began to print the LCCN on the verso of the title page. J.P. Lippincott and others followed suit. This initiated the practice of “preassigning” blocks of LCCNs to publishers, a practice that continued into the 1970s when it was gradually replaced by individual preassignment of LCCNs by the Library, as the block approach had led to duplicate assignments.

While the Library no longer provides a card service, the LCCN continues to serve as a unique inventory number of the catalog record. Libraries and book dealers use the LCCN printed in the book to facilitate book processing, copy cataloging, acquisitions and other tasks. The PCN program also provides a valuable source of initial bibliographic records and books for the Library.

The PCN Process.

From the late 1970s until 1997, a publisher obtained an LCCN for a forthcoming book by completing and submitting a single page application form and the corresponding title page to the Library. CIP Division staff reviewed the application for eligibility and completeness and then created an initial bibliographic record. During this process an LCCN was assigned to the record. The number was then sent to the publisher to be printed on the verso of the title page preceded by the legend: Library of Congress Control Number.

Publishers participating in the PCN program are obligated to send a copy of the book to the Library immediately upon publication.

The EPCN Program.

In 1997, the Electronic PCN (EPCN) system was implemented. EPCN enabled publishers to use the Internet to submit applications. The publisher first completed an online Application to Participate form. Upon submission, CIP staff reviewed the form. If the publisher is eligible, the publisher is sent an account number and password. This enables the publisher to access the appropriate form to request LCCNs.

The EPCN program is almost entirely automated. The publisher completes an application form that includes basic information about the book’s identity (title, author, place of publication, date, etc.). Library staff review the submitted application for eligibility, accuracy, and completeness and with a few clicks of the mouse, an LCCN is assigned and the information provided by the publisher is converted to a MARC record complete with appropriate punctuation, delimiters, and codes. The assigned LCCN is then emailed to the publisher.

Selection & Recommending.

Selection Librarians have traditionally worked closely with the CIP Division because it is a logical and convenient place, early in the work stream, to review new book receipts. Publishers participating in the CIP and PCN programs send to the CIP Division books to meet CIP and PCN program requirements. The Copyright Office sends all English language works to the CIP Division because CIP staff provide initial searching and processing services for these new receipts.

Among the Selection Librarians' broad range of complex duties is the responsibility to select works for the Library's collections guided by the Library's mission statement, collection policy guidelines, evidence of past practice and key documents such as the Library Online Acquisitions Manual. This responsibility also includes determining the number of copies to be selected as well as determining the priority by which the selected works will be cataloged.

In the course of these activities the Selection Librarians also provide the CIP program a valuable quality control service as their close and constant scrutiny of incoming CIP receipts enables them to identify works for which CIP data was provided but upon examination appear to be self-published works or works that appear unlikely to be widely acquired by the nations libraries. When they identify such works they search them in OCLC and other databases to confirm their suspicions and then provide their findings to CIP management. CIP management in turn takes steps to have the relevant publishers suspended from the CIP or PCN programs.

Recommending Officers also work closely with the CIP Divisions for the same basic reason as the Selection Librarians, i.e., because it is a logical and convenient place, early in the work stream, to review new book receipts. Recommending Officers are often reference librarians whose recommending duties are additional to their other responsibilities. As Recommending Officers they usually have a specific subject or group of subjects for which they are responsible. Their responsibilities include a range of tasks to ensure the currency and depth of a specific area of the Library's collections. This includes recommending appropriate titles for acquisition.