General Observations:

DUL Technical Services spent this quarter preparing the first phase of implementation of the EG approved structural reorganization, which became effective December 1, 2016. Details of the reorganization were announced the 30th of November via an “everyone” email. The following TS activities and changes were also of note:

- A Technical Services Forum took place December 7; it featured remarks from Bob Byrd, an update on FOLIO activities and presentations from TS department heads to share reorg updates and plans moving forward.
- The following TS staff were promoted and have taken on expanded roles and responsibilities:
  - Holly Chang, Team Lead, Holdings Management, Serials & Retention Management Department
  - Fouzia El Gargouri, Team Lead, Non-Roman Languages Ordering & Receipts, Monograph Acquisitions Department
- Gwen Faulkner retired from DUL in December after 42 years of dedicated service.
- EG approved moving forward with 2017 recruitment for the following TS positions:
  - Electronic Resources Management Librarian, Continuing Resource Acquisitions Department
  - Order & Receipt Specialist for Middle East Languages, Monograph Acquisitions Department
- Several TS staff were appointed to newly formed TRLN Task Groups charged with articulating strategies and recommending options related to TRLN interests in cooperative technical services, print retention, and support of non-English language programs.
- TS engagement with the FOLIO project increased this quarter as Special Interest Groups (SIGs) went live to connect functional experts with designers and developers. So far, activity has included reviewing and refining labor-intensive renewal workflows currently under development.
- Ivy Plus Libraries Director of Collections Initiatives, Galadriel Chilton, met with the DUL TS Management Team in early December to discuss collections directions and resource lifecycles. In related news, Ivy Plus has formed a Technical Services Group “to connect specialty areas for decision making and implementation of supported initiatives.” Dracine Hodges is the DUL representative to this group, which had its first meeting December 20.

Highlights of work in support of strategic plan:

- ...After completing work on 600+ titles in the first group, SRM began work on the second group of titles for the TRLN print retention project. Serials catalogers will refresh bibliographic records, identify missed title changes, and research the ISSN portal as necessary to provide missing data; Holdings Management staff will perform data normalization for holdings statements and item records.

Workflow Productivity:

<table>
<thead>
<tr>
<th></th>
<th>FY17</th>
<th>Q1</th>
<th>Q2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monograph Orders</td>
<td>8,429</td>
<td>7,630</td>
<td></td>
</tr>
<tr>
<td>Continuations Orders</td>
<td>85</td>
<td>206</td>
<td></td>
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<tr>
<td>Monograph Receipts Processing</td>
<td>12,320</td>
<td>7,622*</td>
<td></td>
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<tr>
<td>New Knowledgebase Collections Tracked</td>
<td>14</td>
<td>17</td>
<td></td>
</tr>
<tr>
<td>New Unique E-Journal Titles</td>
<td>567</td>
<td>1,644</td>
<td></td>
</tr>
<tr>
<td>Cancelations/Cessations</td>
<td>27</td>
<td>57</td>
<td></td>
</tr>
<tr>
<td>E-Resource Trials</td>
<td>14</td>
<td>6</td>
<td></td>
</tr>
</tbody>
</table>

*All numbers not available at time of report.
DUL TS catalogers contributed 601 new name authority records (NARs) to the Name Authority Cooperative Project (NACO) of the Program for Cooperative Cataloging (PCC), and enhanced 205 existing NARs. These figures represent a significant growth over DUL’s NACO contribution of 442 for the same period last FY. In addition, DUL TS serials catalogers contributed 257 new cooperative online serials (CONSER) records to PCC along with 69 enhancements to non-CONSER items. The increase for NACO is due partly to more staff being trained to do this work. The numbers also reflect a significant increase in Arabic focused NACO, including classification numbers for authors writing in Arabic.

Throughout Technical Services, staff work to enable access to electronic resources for library users. This includes responsibility for maintaining the authentication service (EZProxy) for DUL, as well as DKU and the professional schools. The following data illustrates the impact of TS work to license, acquire, and make discoverable e-content for users across the Duke enterprise. In this quarter, DUL managed resources (journals, articles, books and databases) facilitating nearly 11 million visits charted below.

TS cataloged 9,378 new titles, bringing the year-to-date total to 19,835. Cataloged items include books, serials and other formats, including 404 films, 335 maps, and 859 scores. This effort included 1003 serial and monographic titles cataloged for the Rubenstein Library and 58 e-book titles cataloged for the Duke University Press.

1 This chart includes 883 titles copy cataloged by IAS and 211 gift titles copy cataloged by Divinity School. Western European includes 1,522 Spanish & Portuguese titles. See note at end of report for group definitions.
Shelf-Preparation processed 1,599 volumes for Commercial Bindery treatment, reflecting a continuing trend of decreased volumes processed during the same quarter last FY. In addition, the team completed end preparation on 11,985 volumes and processed 2,264 Shelf-Ready titles.

Serials & Retention Management staff completed a review of 334 current periodicals at Lilly Library. Of those reviewed, 14% were found to have cancelled and closed orders, or ceased publication status. Faye Bennet closed out related holdings and pulled older issues for commercial binding.

Outreach & Engagement

Bill Verner and Fouzia El Gargouri, in her new role as Team Lead – Non-Roman Languages, met with IAS staff as part of a listening tour with stakeholders. The meeting was productive and provided an opportunity to clarify that decision around vendors, ordering procedures, and priority setting for Monograph Acquisitions staff are internal to Technical Services.

The TS Acquisitions Working Group (Virginia Martin, Dracine Hodges, and Bill Verner) met with colleagues from Duke University Accounts Payable to discuss the implications of new federal tax laws on the lease of electronic resource content from foreign vendors. Discussions are ongoing as the group defines goods vs services and reviews interpretations of the law by other accounting bodies and libraries, state and private, around the country.

Process Improvement

Holdings Maintenance

- Natalie Sommerville, Jacquie Samples, and Faye Bennet collaborated to create and document a process to delete empty holdings records from Aleph; the process was successfully tested on “PKPI” holdings records.
- A new process to create summary statements for multi-part monographs in the 866 field is close to full implementation. It will bring holdings for sets in line with national standards and ensure consistency of metadata across serials and monographs. Copy catalogers will participate in a training session in January led by Amy Turner (Resource Description). The session will combine instruction in the application of the new field with a general review of sets and series.

Incoming Receipts & Processing

- This quarter in the Monograph Acquisitions Department changes were made to the Western Languages firm order workflow. Staff who exclusively performed ordering functions took on responsibility for receipt of materials as well. The focus to date has been to prioritize receipt of rush items due to high demand for course reserve materials being requested. Plans for non-rush materials receipt are still underway with the addition of student assistants being hired to facilitate timely opening and pre-processing of incoming shipments.
- As part of the reorg transition, Leeda Adkins (Metadata & Discovery Strategy) is helping facilitate work transitions to support TS staff taking on new roles. She collaborated with ITS to improve the customized Aleph invoice loader to bring online MARC record loads and batch invoicing for Italian and Spanish vendors which require specific file formats and metadata. This will reduce aspects of receipts work for staff and allow for processes that are more efficient. A spreadsheet of print approval plans was also created to keep track of which plans send MARC records and which need manual processing. In addition, Leeda trained Shelby Tilley on her new responsibilities for batch record loading needed for Monograph Acquisitions processes. Related to this, Deb Fields (Continuing Resource Acquisitions) created a new EDI profile for a Chinese vendor, CNPIEC, so that both Acquisitions departments are enabled to use this functionality.

TS Data Normalization and Vendor Communication

- Continuing Resource Acquisitions Department completed a project to update/correct material types and order types in Aleph order records, with approximately 1,100 orders updated. This work will improve future ARC
reporting. Deb Fields also completed a title list reconciliation for the approximately 450 titles in DUL’s $1.8 million Elsevier e-journal package renewal.

- Virginia Martin coordinated a subaccount restructuring for the OCLC account shared by Continuing Resource Acquisitions, ADS, ITS, and Admin Services in order to resolve longstanding problems with billing and issuing of credits.

Shelf Preparation
- Ros Raeford devoted much of this quarter to working closely with Gwen Faulkner prior to her retirement. This allowed her to develop more in-depth understanding of the work, analyze processes for efficiencies, and begin considering models for oversight of this team moving forward.

Special Situations:

Processing/Cataloging Backlogs and Outsourcing:
At the end of the second quarter, the Resource Description backlog stood at 7,602, down from 8,079 of the previous quarter. The Slavic backlog currently stands at 2,188, down from 2,404 titles at the end of Q1. Current limitations of staffing and in-house language expertise will see some areas in the backlog continue to grow. The DUL Technical Services Management Team has several short and long-term solutions in the works to address needed support. A few examples include the following:
- Outsourcing of Arabic original cataloging continues, with nearly 100 titles sent to date.
- After a slow start in getting the Korean Language outsourcing project off the ground, TS sent a test file to Panmun for cataloging. Once the review of the test file is complete and approved, TS will send between 50-100 titles each month through the end of the fiscal year.
- Sara Biondi (Monograph Acquisitions), who has notable facility with languages, will begin a self-taught course in Korean, with subsequent training by auditing relevant Duke classes next fall.

Q2: Backlog Statistics by Language Group

<table>
<thead>
<tr>
<th>Language Group</th>
<th>English</th>
<th>Western European</th>
<th>South Asian</th>
<th>East Asian</th>
<th>Middle Eastern &amp; African</th>
<th>Slavic &amp; Eurasian</th>
</tr>
</thead>
<tbody>
<tr>
<td>Books</td>
<td>667</td>
<td>1,130</td>
<td>224</td>
<td>907</td>
<td>2,257</td>
<td>2,180</td>
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<tr>
<td>Serials</td>
<td>5</td>
<td>2</td>
<td>1</td>
<td>6</td>
<td>5</td>
<td></td>
</tr>
<tr>
<td>Music</td>
<td>130</td>
<td>11</td>
<td>-</td>
<td>2</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>A-V</td>
<td>9</td>
<td>2</td>
<td>1</td>
<td>23</td>
<td>10</td>
<td>1</td>
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</tbody>
</table>

Notes for Cataloging and Backlog Charts
- English: regardless of place of publication
- Western European: (e.g. United Kingdom, France, Ireland, Italy, Netherlands, Portugal Spain) regardless of place of publication
- South Asian: Includes languages spoken in Southeast Asia and South Asia (e.g. India)
- East Asian: Chinese, Japanese, Korean
- Middle Eastern and African: Excludes publications in English, Afrikaans, French and other European languages.
- Slavic and Eurasian: Includes both Slavic and non-Slavic languages spoken in Eastern Europe, Russia, and Central Asian countries formerly part of the Soviet Union
- Backlog figures do not include serials shelved in Serials & Print Retention Management Dept.