

Developing a Multi-State Comprehensive Collection FDLP Preservation Services Pilot Strategies

**Library Services and Content Management
Office of the Superintendent of Documents
U.S. Government Publishing Office**

December 20, 2018

Table of Contents

Introduction	1
National Plan for Access to U.S. Government Information and the Pilot Projects	3
Assumptions	3
Pilot Projects	
• Federal Depository Library Collection Development Plans	5
• Inventorying Federal Depository Library Collections	9
• Cataloging Federal Depository Library Collections	11
• Conducting Condition Assessments of Federal Depository Library Collections	14
• Conducting Bibliographic Record Comparisons and Sharing	16
• Developing Disaster Prevention, Response, and Recovery Plans for Federal Depository Library Collections	17
• Digital Deposit in Federal Depository Libraries	20
Related Existing Initiatives	25

Introduction

The Founding Fathers and early legislators recognized the importance of the free flow of information in a democratic society. They thought it essential that the citizenry be informed about its government and its workings so as to allow effective participation in the democratic process. They also viewed information dissemination as pivotal if the new nation were to be successful. It is this thinking that underlies the establishment of the Federal Depository Library Program (FDLP) as a network of libraries located throughout the country and territories with preserved collections of Government publications for educational purposes that are freely accessible to the general public.

The FDLP traces its roots to 1813, when Congress passed a joint resolution for the printing and distribution of the journals of Congress to the executive and each branch of every state and territorial legislature, one copy to each university and college in each state, and one copy to the Historical Society incorporated in each state. It was, however, the joint resolution of January 1857 and an Act of February 1859 that provided the framework for the Federal depository program that we know today. The former called for the continued distribution of public documents by the Secretary of the Interior to colleges, public libraries, athenaeums, literary and scientific societies, and other institutions and associations designated by him; while the latter authorized designations of document recipients to be made by senators from the states, by representatives in Congress, and by delegates from the territories. The latter also obligated the libraries to retain, and not remove, the books and public documents received, and it provided the program intent to have the quantity of public documents distributed to each congressional district and territory to be equal. The 1859 Act also charged the Secretary of the Interior with receiving, arranging, safe-keeping, and distribution of all public documents of every nature directed by law to be printed or purchased for the use of the Government. This is the first mention of arranging and safe-keeping of public documents and the provision of space for this purpose.

The Government Publishing Office (GPO) has the responsibility for disseminating Government information to depository libraries, ensuring depository libraries provide access to those resources, and for preserving both the tangible and digital collections that make up the National Collection of U.S. Government Information. Changes in the FDLP's statutory authority,

GPO's guidance to depository libraries, and changes in libraries over time necessitates questioning the comprehensiveness of collections held in regional depository libraries today.

The National Collection is defined as a geographically dispersed collection of the corpus of Federal Government information dissemination products paid for with Federal funds regardless of format or medium. Declassified materials and materials whose privacy considerations have expired are included within the scope of the National Collection. The National Collection is a comprehensive collection.

Because GPO does not have a library collection, the National collection is necessarily a distributed collection with holdings in depository libraries. This situation presents challenges, with some unknowns that the pilot projects will help remedy:

- Identifying the corpus of public documents and Government information products.
- Determining where titles in the collection are located.
- Assessing the condition of the collections.
- Cataloging collections and sharing the records.

We have seen, and will continue to see, rapid advancements in technology, networking infrastructures, collaboration platforms, and other developments in libraries, Federal agency information dissemination practices, and the information industry that have made it possible for a number of depository libraries to participate in multi-state alliances for rapid delivery of shared services. This has also made it possible to develop models and networks that create cost effective shared print resource archives and shared digital repositories. Interstate shared models offer practical means to maintain public access to a more comprehensive collection of Government information dissemination products, while achieving operational efficiencies for the participating regional and selective depository libraries.

Now is the time to look forward and plan for the future by leveraging advancements and change and work together to, once again, ensure that everyone in identified geographic regions has free access to a comprehensive collection of the Government's public documents and information dissemination products, and that those collections are preserved for future generations.

National Plan for Access to U.S. Government Information and the Pilot Projects

National Plan for Access to U.S. Government Information is a framework document that sets and supports the strategic direction of Library Services and Content Management (LSCM) business unit. The National Plan provides desired outcomes and actions to undertake to achieve them. They all will help fulfill the statutory mandates of the FDLP and the Cataloging and Indexing Program (C&I), while clearing a path for the digital age, and achieving our vision: “To provide Government information when and where it is needed.” This is *Keeping America Informed* in the digital age and ensuring an informed citizenry and an improved quality of life for them.

The pilot projects work toward meeting outcomes the National Plan supports:

- Federal depository libraries will meet the Government information needs of the communities they serve.
- More online official Government content will be accessible to depository libraries and the public at large.
- GPO’s **Catalog of U.S. Government Publications** will be a comprehensive index to the corpus of Federal Government information.
- GPO’s FDsys/govinfo content will be available from more access points.
- Tangible collections in Federal depository libraries will be maintained for access.
- The National Collection of U.S. Government Information will be preserved and accessible to future generations.

Assumptions

The following assumptions were made with the development of the National Plan and they also support the need for the preservation services pilot projects:

- Government information is a national asset and library collections of tangible and digital Government content are valuable to ensuring an informed citizenry
- A level of collection redundancy is necessary
- The need for 46 regional depository libraries continues to be questioned
- Regional deposited collections will cross state boundaries

- Federal agencies will continue to use their public websites as the primary means of dissemination of information
- GPO and depository libraries will collaborate in new ways
- Digital collections will grow exponentially and their platforms will continue to evolve
- No one library or institution can do all that is required to preserve the entire corpus of Government information.
- Geographically dispersed collections of tangible publications and redundancy of digital files are necessary to ensure local access to Federal Government information.
- GPO will provide preservation support services for tangible depository collections in Federal depository libraries

Pilot Project: Federal Depository Library Collection Development Plans

PROJECT PURPOSE

The purpose of this pilot project is to discover the current and future position of states in developing a comprehensive collection of Government publications and information dissemination products for a geographic region. Through the creation and use of collection development plans the strengths, weaknesses, and gaps in states' future collection building potential for comprehensiveness can be identified.

BACKGROUND

The intent of Congress was to provide all depository libraries with all printed material available from the Government in equal quality. Though all depository libraries were sent the same publications, some libraries took great pains to return to the Superintendent of Documents those publications they did not wish to retain, at great expense to the Government. In March 1922 an act was passed that allowed for libraries to select in advance those publications they wished to receive on a regular basis, thereby eliminating the process of returning unwanted publications.

While the 1922 act provided some relief to depository libraries, it also undermined one of the primary purposes of the program, the provision of equitable collections of all public documents for the public to access. There were no longer "complete collections" in some parts of the country. In April 1923, one year after the new selection plan was implemented, the Office of the Superintendent of Documents conducted a study of depository library selection decisions. At that time there were 418 libraries in the FDLP and only forty-eight selected to receive all publications. The geographic distribution of these libraries, however, left twenty-seven states and outlying areas without a complete collection. Ten of the forty-eight libraries that opted to receive everything in 1922 are regional depository libraries today.

A major change to the structure of the FDLP came with the Depository Library Act of 1962. It is this act that gave us regional and selective depository libraries that we have today. Like the

days of old, regionals receive the “complete collection” of items distributed through the FDLP¹ and can only discard materials if they are superseded, later provided in bound format, or they are authorized to do so by the Superintendent of Documents.² Selective depository libraries choose which items they want to receive and they may discard materials after five years with the approval of their regional depository coordinator. They are also permitted to substitute tangible for online versions, under certain circumstances.

It has been almost 100 years since depository libraries were first allowed to select their Government publication receipts. Over this time there have been many factors that contributed to the undermining of comprehensive collections of Government publications being held in all regional depository libraries. These include:

- Evolving scope of content eligible for distribution through the FDLP;
- Changing definition of “public document”;
- Varying dates of regional library designations;
- Inconsistent policy and guidance provided to regional depository libraries;
- Disasters at regional depository libraries resulting in collection losses; and
- Transition to a more electronic (digital) FDLP.

OBJECTIVES

- Create state-wide collection development plans in at least 5 states within the same region, as reflected in the Census Bureau’s Regional Office Structure Boundaries map (see Figure 1 below). Some adjustments will have to be made to the 2013 map to accommodate some existing shared depository models.
- Identify the intent of the regional depository libraries within the 5 states to retain or to discard materials from their collection in accordance with Superintendent of Documents Public Policy Statement (SOD-PPS) # 2016-3, Government Publications Authorized for Discard by Regional Depository Libraries.
- Generate a map from which the findings can be visualized geographically.
- Produce a collection development plan for the geographic region.

¹ Exceptions to this are the ability for regionals to choose a tangible format to receive and the ability to deselect items they are receiving through another depository program (e.g., they also serve as a Patent and Trademark Resource Center).

² This clause is the basis for SOD-PPS 2016-3, Government Publications Authorized for Discard by Regional Depository Libraries, which allows regional depository libraries to withdraw materials from their collection under certain circumstances.

- Increase the number of Preservation Stewards by at least 5, representing the states in the pilot.
- Identify at least one Federal depository library that would consider receiving digital Government information dissemination products on deposit.

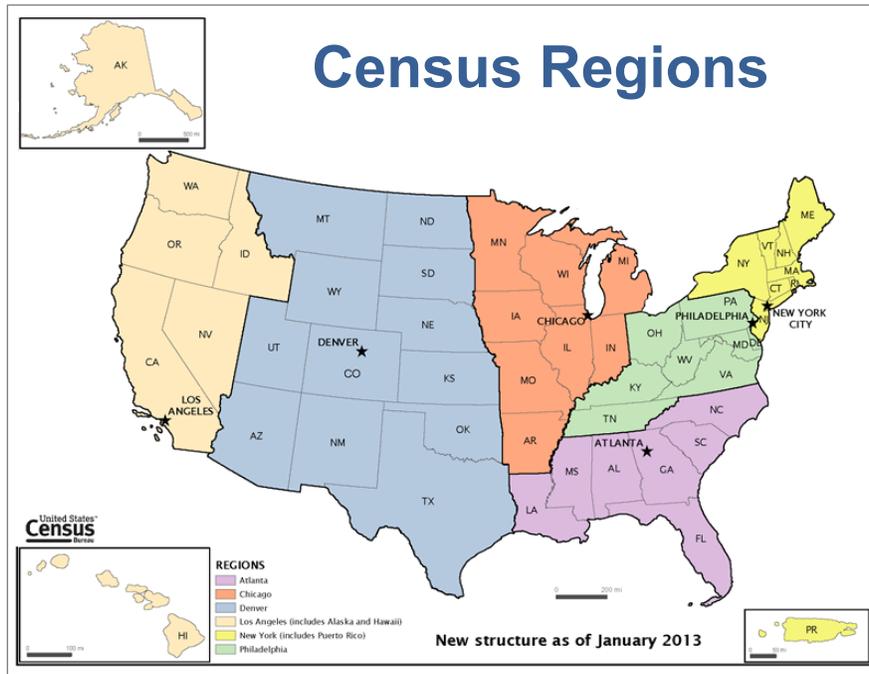


Figure 1: Census Bureau administrative regions as of January 2013.

EXPECTED IMPACTS, OUTCOMES, AND DELIVERABLES

- Depository libraries within a state will recognize their collection strengths, weaknesses, and gaps.
- Depository libraries within a region will recognize the region's collection strengths, weaknesses, and gaps.
- State and geographic region collecting priorities will be realized.
- Regional depository libraries will have an idea of which materials they would like to discard in accordance with Superintendent of Documents Public Policy Statement (SOD-PPS) # 2016-3, Government Publications Authorized for Discard by Regional Depository Libraries — and conversely, which materials they will retain.
- Depository libraries will be motivated to adopt a more collaborative approach to collection development.
- Collection development template for consistency among depository libraries.
- Collection development plans for participating states and for the geographic region.
- The collection development plans will provide guidance for resource allocation planning.

- Opportunities for partnering to increase the amount of content that will be publicly accessible throughout the geographic region.
- An established model from which other regions can benefit.

PRINCIPAL ACTIVITIES

- Create a collection development plan template.
- Work with states in one of the census regions to create state-wide collection development plans using the newly created collection development template
- Compare and map the plans of states in the region
- Develop a collection development plan for the geographic region.

Pilot Project: Inventorying Federal Depository Library Collections

PROJECT PURPOSE

The purpose of the Inventory Pilot is to conduct an item level inventory of a Federal depository library collection, comparing items on the library shelf with items in either the catalog or other existing shelf inventory.

BACKGROUND

Many Federal depository libraries (FDLs) do not have adequate staff resources to conduct a complete inventory of their collection. While many FDLs have a list of the items they have selected over the years and piece level records of FDLP receipts, they are simply a record of what was acquired, not what is currently held in the depository library collection.

A collection inventory to determine the individual items that make up a particular Federal depository library collection is the foundation for all of the other Preservation Services. Knowing what you have, is essential to classification and cataloging and assessing the condition of individual items for preservation.

OBJECTIVES

- Develop a methodology for performing an inventory of an FDL collection that can be performed efficiently onsite at the library using contract staff hired for the pilot initiative
- Develop metrics for tracking time and for assessing the overall efficiency and cost-effectiveness of the onsite inventory and potential cataloging effort in order to determine the feasibility of developing the pilot initiative into a regular LSCM Preservation service.

EXPECTED IMPACTS, OUTCOMES, AND DELIVERABLES

The collection Inventory pilot will:

- Identify the exact items within a Federal depository library collection.
- Identify fugitive, uncatalogued publications in the collection.
- Provide an overview of stacks shelving conditions and their impact on the collection.

- Provide cost and staffing estimates to determine the feasibility of providing a collection inventory as a regular service to depository libraries.

PRINCIPAL ACTIVITIES

- Three depository libraries will be selected from those that have a cataloged collection or piece level records for the collection inventory
- GPO will develop the inventory methodology and specific workflow for the pilot inventory initiative and will train the inventory team.
- Pilot libraries will run an inventory report from the catalog or provide an inventory of collection items to be used as the basis for conducting the shelf inventory.
- Working in the stacks, the inventory team will begin with the first title on the inventory report that matches the corresponding item on the library shelf.
 - a. If the title is present, a check mark is made on the printed report or if the inventory report is able to be converted to a spreadsheet, then noted as a check mark there.
 - b. If an item is found on the library shelf that is not listed on the item inventory list or spreadsheet, then the information required to accurately create a K-level catalog record will be recorded.
- Back at GPO, Library Technical Services staff will create the K-level catalog records and the records will be shared with the pilot library.
- The Preservation Librarians will provide a report analyzing the work completed.
- A follow-up survey will be developed and provided to each pilot library to assess their experience with the pilot and the value added to the library.

Pilot Project: Cataloging Federal Depository Library Collections

PROJECT PURPOSE

The National Collection of U.S. Government Information is a vital information asset for the American people. The lack of a Union Catalog for the Federal Depository Library Program means that the National Tangible Collection of US Government Publications is largely an unknown bibliographic quantity. The exact number of total publications; how many copies of a title exists, the age and the condition of items that make up the National Collection are largely unknown.

Cataloged collections not only provide increased access for library users, but these records can then be added to GPO's Catalog of Government Publications and become part of the holdings of the National Collection of U.S. Government information. Cataloging a collection can also identify fugitive documents new to GPO and discover lost or missing items with the FDL's collection. A cataloged collection with records in MARC, following RDA standard, also allows the catalog to serve as a database of record for information gathered during an item condition assessment. Repair, reformatting, and discard decisions may also be recorded within the catalog. Information gathered on the condition of individual collection items can focus funding on cost-effective repairs to ensure that collection items remain in the hands of users. Heavily used, significantly damaged or brittle items may benefit from digital imaging and ingest into govinfo for wider access and long-term preservation.

OBJECTIVES

- Test and assess the pre-pilot methodology of cataloging, performing a condition assessment and recording all relevant spreadsheet data for each pre-pilot library visit.
- Catalog a selected portion of a depository library collection at one of the participating FDLs. Perform MARC record analysis with the Catalog of Government Publications. Upload completed cataloging records to the ILS of the participating pre-pilot library.
- Perform a condition assessment of a selected portion of a depository library collection at one of the participating FDLs. Record condition data onto the spreadsheet for later preservation analysis of the cost and feasibility of performing effective preventative repairs

and the number of potential brittle and decayed items that could benefit from digital imaging.

- Develop MARC format records for FDL publications in each participating pre-pilot library that have at least the following information:
 1. Title
 2. Author
 3. Date of Publication
 4. Place of Publication
 5. SuDoc number
 6. Agency
 7. One subject heading to be completed at GPO as the record is added to or created for the CGP

EXPECTED IMPACTS, OUTCOMES, AND DELIVERABLES

- The development of a methodology for gathering and recording item level data at the library shelf adequate to creating individual MARC catalog records and conducting a preservation condition assessment.
- The development and testing of a series of performance metrics to determine the required staffing levels, overall service costs, performance time for GPO and the return on investment for the participating FDL.
- Cost and staffing estimates to determine the feasibility of providing item cataloging and condition assessment as a regular service to depository libraries.

PRINCIPAL ACTIVITIES

- GPO will lead a team to catalog an agreed upon portion of the pilot library's Federal Government publications.
- Information for the MARC catalog records will be recorded on an Excel spreadsheet.
- Data from the spreadsheet will be compared with data from the CGP to determine whether the item is already cataloged.
- If no existing CGP record exists, the title will be searched in OCLC and added to the CGP.
- Records from the CGP and OCLC will be prepared for batch upload to the participating pilot library using Z39.50 or other bulk upload

- Metrics will be recorded for data gathering, the time to physically assess the condition of the item and record that data at the site. OCLC search time, and the cost of basic item repair and rehousing for the participating library will also be recorded.
- A follow-up survey will be developed and provided to each pilot library to assess their experience with the pilot and the value added to the library.

Pilot Project: Conducting Condition Assessments of Federal Depository Library Collections

PROJECT PURPOSE

The National Tangible Collection of U.S. Government Information is a valuable information asset for the American people. However, the exact condition of the National Collection geographically dispersed among the more than 1,100 libraries in the Federal Depository Library Program is unknown.

While some libraries in the FDLP have conducted a condition assessment of Government publications in their collection, no systematic collection condition assessment has ever been performed on a statistically significant portion of the National Collection.

Information gathered during a condition assessment will identify three critical areas for the preservation of the local collection:

1. Identify priorities for item preservation (repair, support, box) to ensure that publications remain available on the library shelves for users
2. Identify stacks conditions, such as dirt, pests, evidence of water damage, and mold that will negatively impact the preservation of the collection.
3. Identify publications that may need to be digitally imaged due to their poor condition to ensure long-term access

OBJECTIVES

- Conduct a pilot condition assessment of three FDL collections using cluster and simple random sampling to determine the statistical condition of an FDL collection.
- Collect cost and staffing level information and refine methods and procedures necessary to assessing the feasibility of developing collection condition assessment as a regular preservation service.

EXPECTED IMPACTS, OUTCOMES, AND DELIVERABLES

- Critical areas for the preservation of the local collection will be identified:

- Priorities for item preservation (repair, support, box) will be identified to ensure that publications remain available on the library shelves for users.
- Stacks conditions, such as dirt, pests, evidence of water damage, and mold that will negatively impact the preservation of the collection will be identified.
- Publications that may need to be digitally imaged due to their poor condition to ensure long-term access will be identified.
- Cost and staffing estimates to determine the feasibility of providing collection condition assessment as a regular preservation service to depository libraries.

PRINCIPAL ACTIVITIES

- Three participating libraries in the pilot initiative will be selected from existing FIPNet Preservation Steward Library Partners and the existing Preservation Steward Partnership agreement will serve as a guide for the publications that will receive condition assessment work.
- The Preservation Librarian will develop and train the GPO Assessment Team and work with the team to develop the condition assessment statistical sampling methodology and collection instrument.
- The GPO Preservation Librarian will lead the GPO team during the site visit and data collection for the condition assessment, and will write an assessment report and present the analysis to the pilot library.
- A follow-up survey will be developed and provided to each pilot library to assess their experience with the pilot and the value added to the library.

Pilot Project: Conducting Bibliographic Record Comparisons of Federal Depository Library Collections

PROJECT PURPOSE

Develop the ability to compare and exchange MARC format bibliographic and holdings records from pilot libraries to the CGP to enhance the accuracy of the CGP as the comprehensive catalog of U.S. Government publications.

BACKGROUND

The **Catalog of U.S. Government Publications** is supposed to be a comprehensive catalog that serves as a record of all of the information products disseminated by the U.S. Government. However, due to reasons that include loss of LSCM's historic shelflist and local collection and selection practices of FDLs, depository collections contain Federal Government publications that are not recorded in the CGP or that are fugitive to the Program and have never been cataloged.

OBJECTIVES

- Identify three libraries with fully cataloged FDL collections to participate in the pilot.
- Compare records of three pilot libraries with records in the CGP.
- Ingest the bibliographic and holdings records for fugitive publications held by the pilot libraries into the CGP.

EXPECTED IMPACTS, OUTCOMES, AND DELIVERABLES

- A comprehensive CGP that accurately identifies the U.S. Government publications and the holdings of major library collections.
- Enhanced discoverability for users of the CGP
- A process to bulk load bibliographic and holdings records from partner FDLs to the CGP

PRINCIPAL ACTIVITIES

- Identify and extract the MARC bibliographic and holding records for Government information dissemination products of the pilot libraries.
- Compare these records with those in the CGP to identify fugitive publications.
- Upload the bibliographic and holdings records of fugitive publications from pilot FDLs into the CGP.

Pilot Project: Developing Disaster Prevention, Response, and Recovery Plans for Federal Depository Library Collections

PROJECT PURPOSE

This pilot is being conducted in response to discussion during an FDLP Academy preservation webinar where participants thought that a disaster, prevention, response, and recovery plan would have made a significant difference in their recovery efforts. They also indicated that they lack the staff time and expertise to develop such a plan. In the pilot GPO will work with depository libraries to develop these plans.

BACKGROUND

Federal Information Preservation Network (FIPNet) Preservation Stewards are “committed to retain” a specific title, Su Doc class or portion of a Federal Agency’s publications in tangible form for long-term access. Libraries signing the MOA agree to provide basic care and repair for collection items and if their library has a preservation program, provide the same level of preservation oversight and services for the Preservation Steward collection as they would for other library collections.

During 2017 and 2018, LSCM Outreach and Preservation Staff developed and conducted a series of five webinars on Disaster Prevention, Response and Recovery. Federal Depository Librarians who had experienced disasters in their libraries were invited to participate in the webinars to share their experiences and lessons learned.

The following webinars were presented through the FDLP Academy on Disaster Prevention, Response and Recovery:

- *Nothing Ever Happens Until it Does: Disaster Prevention, Response, and Recovery*, June 1, 2017
- *Responding to and Recovering From Disasters:*
 - *Water Damage and Mold*, Feb. 26, 2018
 - *Planning and Crisis Communication*, March 12, 2018
 - *Weather Related Disasters*, March 26, 2018

- *Theft, Vandalism, Fire, and Arson*, April, 20, 2018

Disasters experienced by depository librarians were characterized by damaged and lost collection items; interruption of service to the user community, in some cases lasting months, and significant costs were incurred to replace and recover damaged collection materials.

In discussing lessons-learned from their disasters, only one participating library had a formal disaster prevention, response, and recovery plan. However, that plan was never implemented with appropriate staff training and could not be used during the disaster.

OBJECTIVES

- Design and implement a pilot initiative to develop disaster prevention, response, and recovery plans for three participating Federal Depository Libraries who are geographically dispersed and are Preservation Steward Partners whose libraries do not currently have an up-to-date disaster plan.
- Establish methods and processes for developing the disaster plans that could be standardized into a template for use in developing plans for other Federal Depository Libraries.

EXPECTED IMPACTS, OUTCOMES, AND DELIVERABLES

- Disaster Prevention and Recovery plans for Federal Depository Library Collections
- Increased preservation for FDL collections
- Reduced loss and damage due to library disasters

PRINCIPAL ACTIVITIES

- An Memorandum of Agreement (MOA) will be developed, and signed by GPO and the pilot library, that describes the commitment that GPO and the participating library agree to, that stipulates that an assessment of the risks associated with the library building and the collection environment, and ensures the effectiveness and efficiency of the on-site library visit and implementation of the completed disaster plan.
- During a pilot library site visit, the GPO team will meet with and interview the depository coordinator, the library director, facilities managers, campus or city first responders, and other stakeholders to explain the purpose of the pilot initiative, the work of the GPO on-

site team, and to hear any concerns about the building, the collection, and the impact of previous disasters

- A team of GPO staff will develop the draft methodology, a disaster plan template, and devote several days to gathering information during an onsite visit to the library.
- Upon returning to GPO, the team will meet to review the data gathered on the site-visit and begin writing the draft disaster plan. The plan will consist of an assessment of building and location risks to the collection, a response plan to dealing with common potential disasters, a list of supplies for the library to purchase such as plastic sheeting to cover collection stacks, and recovery plan to return damaged collections to the shelves for use. Additional phone conferences may be needed as the draft plan is written
- The completed draft plan will be reviewed by LSCM management and the pilot library and finalized. The GPO Preservation Librarian will present the final plan, address any questions the pilot library may have, and discuss how the plan may be implemented effectively.
- A follow-up survey will be developed and provided to each pilot library to assess their experience with the pilot and the value added to the library.
- Additional training in the form of webinars and online workshops will be developed to ensure that pilot library staff are able to respond to potential disasters following methods prescribed by the disaster plan.

Pilot Project: Digital Deposit in Federal Depository Libraries

PROJECT PURPOSE

To define a pilot project, including identification of needs and resources, in order to implement effective solutions for depositing digital content within the FDLP with respect to needs for content integrity, preservability, collection development, usability, and user community priorities

BACKGROUND

On April 10, 2007 GPO produced a white paper on “Digital Distribution” which stated that during FY 2006, 93% of all new titles made available through the FDLP were available in electronic form; thus GPO would consider “an affirmative distribution of authenticated and official published digital content to Federal depository libraries.” In a 2005 Biennial Survey, 33% of respondents said they were interested in receiving digital files from GPO. At that time, GPO had several general assumptions about what constituted “Digital Distribution,” such as:

- Electronic files of Federal publications will continue to be available for downloading by Federal depository libraries under FDsys.
- Under an FDLP distribution option, distributed digital publications would be sent to depository libraries via a “push” mechanism.
- Based on the most recent biennial survey, a high percentage of libraries do not want to receive electronic files at all. Those libraries that do wish to receive them want only a very low volume.
- Redundancy is needed to ensure future public access and FDsys will be provide this capability, either by storage at multiple sites, by relying on preservation partners, or both mechanisms.
- GPO will distribute digital files optimized for public access. These files will typically be smaller than the archival copies preserved by GPO.
- If GPO distributed digital files to libraries under the aegis of the FDLP, then the various requirements and obligations of Title 44 apply.

In 2007, the questions and concerns relating to the implementation of a digital distribution service included issues relating to how to authenticate files, synchronize files across libraries and sites, requirements for selective and regional libraries to retain derivative files, versioning of

electronic publications, and the role of libraries and redundancy of digital information for preservation.

Three years following the “Digital Distribution” white paper, Superintendent of Document Policy Statement (SOD) 321 *Digital Dissemination of Access Content Packages for FDLP Digital Depository* (2010) establishes a policy for the digital dissemination of access content packages (ACPs) through GPO’s digital repository to Federal depository libraries. This policy was established in order to respond to increasing interest from FDL’s wishing to establish digital collections of content within scope of the FDLP in order to both meet their user needs and provide replication and redundancy of digital content across geographically dispersed and institutionally diverse digital infrastructures. Rather than “pushing” digital content through an automated means, GPO policy set the stage by which FDLs would instead proactively “pull” content from GPO’s online access interfaces whether by means of saving and downloading individual content directly, or harvesting content through an application programming interface or similar technology.

This SuDoc policy followed FDLP community initiatives such as the 2009 Fall DLC Meeting presentation, “Demystifying Digital Deposit: What It Is and What It Could Do for the Future of the FDLP” (<https://www.fdlp.gov/file-repository/outreach/events/depository-library-council-dlc-meetings/2009-meeting-proceedings/fall-dlc-meeting-arlington-va-2/1048-demystifying-digital-deposit-what-it-is-and-what-it-could-do-for-the-future-of-the-fdlp/file>). This early presentation first introduced a concept of “Digital Deposit” to the FDLP community by which the Digital Deposit, as a service model or as a collective initiative, provides potential organizational and technological infrastructure for replication and redundancy of FDLP content across a network of libraries and institutions. This collective activity provides potential risk mitigation for financial risks, diversifies technology infrastructure, and improve heterogeneous collections, access, and preservation activities in order to better meet varied user needs and expectations.

While the increased interest in “Digital Deposit” continued over the years from 2009, GPO also responded to an increased interest in digital access and digital collection development for Federal depository libraries and the communities they serve. In August of 2014, After GPO’s 2013 audit and report by the National Academy of Public Administration (NAPA), GPO revised **Legal Requirements and Program Regulations of the Federal Depository Library Program** (<https://www.fdlp.gov/file-repository/depository-administration/1984-legal-requirements-and->

program-regulations-of-the-federal-depository-library-program/file) so that FDLP selective depository libraries no longer have any required item numbers to select. This now allows new selective libraries joining the FDLP to opt for a depository collection that is entirely comprised of online resources.

An all online depository is a selective depository in the FDLP that is not selecting any tangible depository resources by item number and does not intend to add any. Current selective depository libraries may transition to become all online over time by deselecting all tangible format item numbers and by properly weeding all tangible depository publications in the library's collection. The transition to become all online is expected to take at least five years for current depositories because of the five-year publication retention requirement for most Federal depository resources.

Building upon the December 2014 **Federal Depository Library Program Forecast Study**, GPO's **National Plan for Access to U.S. Government Information: A Framework for a User-Centric Service Approach to Permanent Public Access** (2016) was developed and released in order to establish several principles of desired outcomes and actions through the successful plan implementation. Included within these desired outcomes is the increased quantity of all digital depositories in the FDLP and that GPO's Federal Digital System (FDsys) content will be available from more access points. An action item for the latter is to create a plan and develop requirements for deposit or pushing of FDsys content to depository libraries. The **Forecast Study** responses specific to "Digital Deposit" were mentioned in both parts of the survey associated with questions relating to access and preservation; this suggests that, across the FDLP, library expectations and definitions of "Digital Deposit" as a service may vary, or, perhaps may exist to serve various needs with various priorities from library to library.

Interest in digital depository collections has been measured in the results of GPO's Biannual Surveys (2005, 2007, 2009, 2011, and 2015). In 2015, 24% of libraries who responded to the survey indicated an interest in receiving digital files of online publications on deposit; 51% discussed it, and 21% supported it. However, 10% responded saying that they were actively harvesting or preserving Federal agency website content and 15% responded saying that they were interested in deposit of digital files a service offered to the FDLP. At the Fall 2017 DLC Meeting and FDL Conference, an open forum was held to continue a focused discussion about

interest in “Digital Deposit” and to raise issues and ideas and potential next steps. Since this time, the FDLP has expressed varying expectations for how “digital deposit” as a service can best meet community needs.

In order to move forward, GPO must initiate a formal methodology for eliciting and qualitatively analyzing FDLP expectations and needs regarding “Digital Deposit” as a service. GPO must collect specific information from FDLs regarding which technology services, content and collections, and aspects of “Digital Deposit” are of the most utility and of the highest priority; are FDLs most concerned about access, or preservation? Are FDLs most interested in preservation quality documents for local retention, or large-scale harvesting methods for content analysis? GPO must define the scope and limitations of such a service and who its target stakeholders are now and into the future as “Digital Deposit” may evolve over time as technologies become available. This pilot project will allow GPO to objectively define the needs of the FDLP and identify effective solutions in order to develop a comprehensive service.

OBJECTIVES

- Develop a methodology for collection qualitative information regarding the needs and expectations of “Digital Deposit” as a service from FDLs
- Define specific requirements, outcomes, and priorities for “Digital Deposit” as a service
- Identify effective and sustainable solutions to meet the needs of the FDLs and their expectations of “Digital Deposit”
- Determine resources required in order to establish “Digital Deposit” within the Federal Depository Library Program as a user-centric service.

EXPECTED IMPACTS, OUTCOMES, AND DELIVERABLES

- There will be a better understanding in the depository community of what digital deposit means
- Technological limitations affecting the kinds of digital information products that can be provided through a digital deposit service will become known
- Sustainable solutions to meet the needs of the FDLs and their expectations of “Digital Deposit”
- SOD policies will need revision
- Final report with recommendations

- Next steps and action items

PRINCIPAL ACTIVITIES

- Qualitative research
- Analysis
- Report generation

Related Existing Initiatives

Trustworthy Digital Repository certification under ISO 16363

The ISO 16363:2012 standard expands upon predecessor best practices outlined in Trustworthy Repositories Audit & Certification: Criteria and Checklist (TRAC) and Trusted Digital Repositories: Attributes and Responsibilities. Certification under ISO 16363:2012 provides a repository third-party verified credentials necessary to demonstrate the capability of the repository to ensure the access, viability, security, usability, and discoverability of its content for the long-term according to industry best practices.

Digitization of the Monthly Catalog of U.S. Government Publications, its predecessor titles, and more

LSCM will be digitizing for ingest into govinfo:

- Monthly Catalog
- Documents Catalogue
- Ames' Comprehensive index to the publications of the United States government, 1881-1893
- Poore's A descriptive catalogue of the government publications of the United States, September 5, 1774-March 4, 1881
- 1909 Checklist,
- Documents Index
- Numerical Lists and Schedule of Volumes

National Bibliographic Records Inventory Initiative

The NBRII endeavors to provide online bibliographic records or serial holding records for those historic materials that are not currently captured in the CGP. These records include:

- Fugitive and historic materials, focusing on publications issued prior to 1976 ;
- Older documents where bibliographic records only exist in a non-electronic format, for example 3x5 catalog cards, or other paper bibliographic record, such as the Monthly Catalog; and
- Materials that were previously cataloged with minimal information that require critical record enhancement. When available, Federal Depository Library Program (FDLP) data, such as item number and SuDocs class number, will be included.

While the NBR II will focus primarily on documents within scope of the FDLP, it will also handle other C&I program materials when identified.

Further development of FDLP eXchange

The FDLP eXchange replaces and expands upon the former national Needs & Offers. The goal was to build an application that libraries in the Federal Depository Library Program (FDLP) could use as a one-stop-shop for the entire needs and offers process. FDLP eXchange automates disposition processing by allowing libraries to enter information on materials they want to discard and to have the process managed by an automated workflow. The application also allows libraries to enter information on materials needed for their collections or digitization efforts. Future developments will provide functionality that will facilitate discard of materials by regional depository libraries and identification of materials for Preservation Stewards.

Federal Information Preservation Network (FIPNet) implementation

FIPNet is a strategy for a collaborative network of information professionals working in various partner roles to ensure access to the national collection of Government information for future generations. FIPNet contributes to the preservation of both tangible and digital Government information, and elevates the public awareness and prestige of local initiatives, specific collections of Government information, and the institutions and agencies that have stewardship over them. Partnership roles include:

- Preservation Stewards
- Digital Preservation Stewards
- Digital Content Contributors
- Digital Access Partners
- Cataloging and Metadata Contributor
- Other/Specialized

For more information about FIPNet partnerships see the Partnership page on FDLP.gov: <https://www.fdlp.gov/about-the-fdlp/partnerships>