



Administrative Notes

Newsletter of the Federal Depository Library Program

Vol. 26, no. 04-05

GP 3.16/3-2:26/04-05

April 15/May 15, 2005

HIGHLIGHTS

New Council Members Appointed	1
Council Meeting Update	3
Briefing Topics: Tangible Distribution	6
National Collection	9
National Bibliography	12
Authentication	15
Versioning	17
FDLP Myths and Monsters	20
Future Digital System	22
New Electronic Depository Library Manual	25

Public Printer Bruce James Announces New Appointees To the Depository Library Council; Salutes Outgoing Members

Public Printer of the United States Bruce James announced the appointment of five new Depository Library Council members during the 2005 Spring Depository Library Council meeting in Albuquerque, New Mexico.

“We have gathered a superior group of individuals dedicated to continuing the important mission of providing all Americans with access to government information. These new members bring a wealth of knowledge and experience to the Council as we forge ahead with our common goal to ensure the digital future of information dissemination,” James said.

As members of the DLC, appointees serve as advisors on policy matters pertaining to the Federal Depository Library Program (FDLP). The core task of the FDLP is to provide access to the American public through the dissemination of information products from all three branches of government to the more than 1,250 libraries across the country participating in the program. The FDLP involves the acquisition, dissemination, and distribution of depository materials and the coordination of Federal Depository Libraries across the country.

The five new DLC members are:

Peter Hemphill is a Senior Manager of software development with IHS Inc. (Information Handling Services) in Englewood, Colorado. He has been in the information technology field for more than a quarter of a century, specializing in large scale computer system application design and development, and maintenance of worldwide data collection for engineering and technical information. Hemphill is an expert on version control.

Marian Parker is presently serving as Associate Dean for Information Services, Director of the Professional Center Library, and Professor of Law at Wake Forest University. Parker's law and library background include her serving as Associate Librarian for Research Services and Administration and Acting Director of the Harvard Law School Library. She was also Director of the New York University Law Library.

Linda Saferite is CEO of the Tulsa City-County Library and was recently awarded Tulsa's Pinnacle Award for Arts and Humanities. Tulsa City-County Library was named the first-ever Federal Depository Library of the Year in 2003. Saferite has served as Library Director in Fort Collins, Colorado, and in Scottsdale, Arizona. She is past Chair of the AMIGOS Library Services board serving seven southwestern states.

Mark Sandler is currently Collection Development Officer for the University of Michigan University Library. Throughout his tenure at Michigan, Sandler has been instrumental in digitalization initiatives and the Google E-Print partnership. He previously served as Chairman of the Chief Collection Development Officers of Large Research Libraries Discussion Group.

Geoffrey Swindells is head of the Government Documents Department at the University of Missouri-Columbia. He also serves as Regional Federal Depository Librarian for the state of Missouri. Swindells' expertise on the preservation and digitization of government documents has been referenced in a recent Rare and Endangered Government Publications (REGP) report. He is an active member of the American Library Association's Government Documents Roundtable (GODORT).

Thanks to Outgoing Council Members

The Public Printer recognized the five Council members whose term expires September 30, 2005, and presented them with certificates of appreciation for their contributions during their 3-years' service. Outgoing members include the Council Chair, John Phillips (Edmon Low Library, Oklahoma State University), Michele T. McKnelly (Chalmer Davee Library, University of Wisconsin - River Falls), Mary W. Prophet (William Howard Doane Library, Denison University), Laura Saur, (The Newark Public Library, Newark, NJ), and Lynne Siemers, (Library and Media Services, Washington Hospital Center, Washington, DC).

[Handout]

Depository Library Council Meeting Update

April 2005

SURVEY TO IDENTIFY ESSENTIAL TITLES FOR PUBLIC USE IN PAPER OR OTHER TANGIBLE FORMAT

GPO conducted a survey from March 4 through March 18, 2005 to identify items that should be added to the current list of Essential Titles for Public Use in Paper Format either for all Federal depository libraries or for specific types of depository libraries. The survey results can be found at <http://www.gpoaccess.gov/essential/statistics.html>. GPO has now analyzed the data, which can be found in the registration packets, and will be online at: <http://www.gpoaccess.gov/essential/>.

AUTHENTICATION/PKI

GPO has nearly completed the installation of digital signing tools using PKI. The purpose is to enable the application of digital signatures to authenticate *GPO Access* files. The first digitally signed documents are expected in May, starting with Congressional Bills of the 109th Congress. Simultaneously, steps are being taken to complete the cross-certification of GPO's PKI operations with the Federal Bridge Certification Authority (FBCA) to ensure that business, administrative, and technical processes related to GPO's PKI match those of the Federal Bridge.

ILS AND RETROSPECTIVE CONVERSION OF BIBLIOGRAPHIC RECORDS PROJECTS UPDATE

A tentative "go-live" date of mid-June has been set for the Integrated Library System (ILS). OPAC testing is planned for June 1st-10th. Information about participating in this testing will be posted to FDLP-L in May. GPO staff continue to work on many related

projects, including the customization of the out-of-the-box public interface, the development of training sessions for staff who will be using the system, on-going authority control services, and the migration of the "locate libraries" function to the new OPAC.

The Office of Bibliographic Services has completed a statement of work for retrospective conversion services for the pre-1976 GPO bibliographic records, and formal procurement activities should begin in the near future.

INFORMATION DISSEMINATION IMPLEMENTATION PLAN

The Office of Information Dissemination/ Superintendent of Documents (ID) is compiling the *Information Dissemination Implementation Plan, FY 2005-2006*. This document will reflect ID's plans for the full scope of its programs and operations. To date, its chapters include the latest versions of three plans previously issued separately: the National Bibliography, the National Collection (formerly Collection of Last Resort), and the Federal Depository Library Program (FDLP) Electronic Collection. Other new chapters will be added as they become available. The current version of the document will soon be available on *GPO Access* at: http://www.access.gpo.gov/su_docs/fdlp/pubs/IDPlan.pdf.

THE NATIONAL COLLECTION OF U.S. GOVERNMENT PUBLICATIONS

GPO and NARA are continuing to discuss transforming the set of FDLP tangible publications that NARA currently holds for GPO into one of the proposed National

Collection dark archives. The working assumption is that NARA will continue to refer users to FDLP collections for tangible documents and will use the digital copies in the GPO Electronic Collection (EC) for access. GPO is working with NARA to develop procedures for the addition of publications to the National Collection dark archive that were not previously distributed to depository libraries. This will allow GPO to assemble comprehensive coverage of all content that should be in the FDLP, whether it was distributed at the time of publication or not. A second dark archive is being planned for the Western United States. GPO will issue an RFP this summer to identify a library or other institution partner for operating the Western collection.

GPO recently placed online the *Baseline Requirements for Digital Reformatting and Delivery of Legacy Federal Documents Collections*, prepared for GPO by the Center for Research Libraries (CRL). The report includes CRL's recommendations for the minimum requirements governing file formats, interoperability, accessibility, asset management controls, and other aspects of digital reformatting and delivery for print and microform legacy materials. The report is available from the FDLP Desktop at http://www.access.gpo.gov/pubs/crl_digital_baseline.pdf

FUTURE DIGITAL SYSTEM

GPO is concluding the third phase of a planning process to develop a comprehensive, integrated system for information lifecycle management that will transform GPO's role and practices. The earlier phases produced a Concept of Operations document, released in October 2004, which provides an initial roadmap for system development activities. This document can be found at http://www.gpo.gov/news/2004/ConOps_1004.pdf.

Preliminary functional requirements for the design of the system have been completed. In coming weeks, those requirements will be refined, and will drive the development of specifications, concept selection, and implementation plans. The depository library community will be notified as soon as these requirements are available for public review.

DIGITIZATION OF THE LEGACY COLLECTION

GPO recently released for comment the Report on the Meeting of Experts on Digital Preservation: Metadata Specifications. The report is located at <http://www.gpoaccess.gov/about/reports/metadata.html>.

GPO is also moving forward with plans to begin digitizing documents of the historical collections of the FDLP. GODORT's Rare and Endangered Government Publications Committee has voted to appoint four individuals to work with GPO to review the results of GPO's digitization ranking survey and to guide GPO in the nomination of materials that would be optimal for initial digitization activities. There will be additional opportunities for input from the library community as GPO continues to develop plans for the digitization of the legacy collection.

WEB DISCOVERY AND HARVESTING

GPO will be working with the EPA Web site as a pilot project for Web Harvesting. While this pilot is being implemented, a set of long-term requirements for web discovery and harvesting is being developed in conjunction with work on the implementation of GPO's Future Digital System.

GPO is now reviewing proposals received via its Solicitation and Statement of Work, and vendor selection should be announced in the near future.

BOUND CONGRESSIONAL RECORD NOW ON GPO ACCESS

The most requested title in the GPO digitization priority survey was the *Bound Congressional Record*, which is now available as a *GPO Access* application. A full-text, searchable and browseable online 1999 *Bound Congressional Record* is available at <http://www.gpoaccess.gov/crecordbound/index.html>.

The application will be updated as additional volumes are published, and also built retroactively as part of GPO's legacy digitization efforts.

GPO also plans to release a *U.S. Reports* application this summer, followed by a *Statutes At Large* application this fall.

GPO ADDS OCLC HOLDINGS SYMBOLS FOR REGIONAL DEPOSITORY LIBRARIES
GPO has begun adding the OCLC holdings symbol of 32 Regional depository libraries to the bibliographic records GPO contributes to OCLC WorldCat. Working with GPO, OCLC has developed an automated daily batch loading process to set the holdings. The presence of the 074 symbol indicates that the title was distributed to depository libraries.

In February and March, GPO produced 2,443 records to which holdings symbols were added, creating more than 76,000 new access points to specific Federal publications.

RECENT DEVELOPMENTS FOR FDLP PARTNERSHIPS

- GPO has implemented a one-year pilot project, in partnership with the Library of Michigan, as part of the transformation of GPO's mandate to monitor the performance of depository libraries from the traditional inspection process to a proactive model of regional

consultation and education. To this end, Sally Lawler, Public Services Librarian at the Social Work Library at the University of Michigan, has accepted a position with GPO as a part-time consultant.

- GPO, the U.S. Census Bureau, and the University Library of Case Western Reserve University have agreed to extend the current partnership, which makes electronic Government information products from the 2000 Census of Population and Housing accessible under the auspices of the FDLP, for an additional two years.
- GPO and the Federal Reserve Bank of St. Louis are finalizing details for a partnership agreement to provide depository access to Federal Government information in the Federal Reserve Archival System for Economic Research (FRASER) service.

PUBLIC-PRIVATE PARTNERSHIP OPPORTUNITY IN PUBLISHING SERVICES (SALES PROGRAM)

GPO is currently requesting information about the capabilities of vendors to provide some or all of the services involved in the transformation of our current sales and distribution operations. The goal is to propose, design, and execute an innovative new model for a publications sales and distribution operation on a revenue sharing basis. A successful model will:

- Increase public awareness of these publications
- Expand distribution channels
- Move the brand name into the commercial mainstream
- Utilize the latest technology
- Achieve significant cost reductions

For more information, please visit www.gpo.gov/salesprogramrfi/

STATISTICS

Since its inception in 1994, GPO Access retrievals have exceeded 2 billion. The average number of retrievals from GPO Access in 2004 was 1.6 million per day. The average number of daily retrievals from GPO

Access is equivalent to more than 39 million single-spaced typewritten pages.

Through February of FY 2005, GPO has disseminated a total of 14,274 online and tangible unique titles in various formats (This total does not include multiple formats of the same title). Approximately 92% of these new titles were electronic and about 8% were tangible distributions.

Council Briefing Topic – Spring 2005 Future Tangible Distribution to Depository Libraries

SETTING THE STAGE

The Federal Depository Library Program (FDLP) is in the eighth year of a transition to a primarily electronic program. Data show that we have reached a point where 95% of the new titles coming into the program are disseminated online, whether or not they are also distributed in tangible form. This FDLP transition to a more electronic environment mirrors a similar transition across Government as more and more information is published electronically.

All of this change in Government publishing necessitates that decisions must be made regarding formats for distribution through the FDLP. The Dissemination/Distribution Policy for the Federal Depository Library Program (SOD 71) sets forth the guidelines for this decision process. SOD 71 acknowledges that there are certain essential titles that need to be distributed in tangible form, as long as the publishing agency continues to publish in that form. SOD 71 also recognizes that maps and other items, for which there is no current useful electronic format, need to be

distributed in tangible form, even when they are not on the list of essential titles.

The initial list of essential titles was developed in 2000 in consultation with the Depository Library community and an effort is currently underway to update that list. Earlier this year, GPO modified the list of essential titles to include additional Congressional materials. With the addition of these item numbers, the expanded list of essential titles now includes approximately 25% of FY 2004 print titles distributed to depositories and used 40% of the estimated FY 2004 printing dollars.

GPO recently reaffirmed that it will continue offering microfiche as an alternative format for items currently available for dual distribution in both print and microfiche.

NEW INFORMATION

GPO is currently updating SOD 71. When the proposed changes have been reviewed with the library community, SOD 71 will be reissued as ID 71. It appears that the most substantive changes are in the second, fifth and sixth guidelines of SOD 71.

SOD 71 (January 2001)	Proposed Revision to be ID 71 (April 2005)
<p>2. When a product is only available in tangible format, then LPS will distribute it in a tangible format.</p>	<p>2. When a product is only available in tangible format, ID will create an electronic version to be substituted for tangible distribution if it is not an essential title and one or more of the following conditions exist:</p> <ul style="list-style-type: none"> a. The cost of printing and distributing the tangible product is prohibitive due its characteristics. b. Digital conversion results in better functionality of the product. c. The digital copy is an official representation of the original. d. The publishing agency does not fulfill the requirement to provide sufficient copies for tangible distribution.
<p>5. When a tangible product is to be distributed, the product will be distributed in the format issued by the publishing agency, except that a paper product will be reviewed for suitability for conversion to microfiche. If suitable, it will be converted; if not, it will be distributed in paper.</p>	<p>5. When a tangible product is to be distributed, the product will be distributed in the format issued by the publishing agency, except for essential titles that have been identified for conversion to microfiche as a dual distribution option. Electronic dissemination will be utilized for publications that meet the conditions in number 2 above.</p>
<p>6. LPS will not convert products that are issued solely in tangible print format to electronic format. This approach may be reevaluated as circumstances warrant. The costs of the conversion process and the official status of the resulting online or tangible electronic version are important factors.</p>	<p>6. In order to place electronic versions of all in scope documents in the FDLP Electronic Collection for preservation and dissemination, ID will convert from tangible to electronic format, if an electronic copy cannot be obtained. The costs of the conversion process, suitability of the material, and the official status of the resulting online or tangible electronic version are important factors.</p>

ESSENTIAL TITLES

GPO recently conducted a survey to obtain recommendations from the depository libraries on which titles should be added to the existing Essential Titles list, either for all Federal depository libraries or for specific types of depository libraries. A total of 794, or about 63 percent of the 1,270 libraries in the Federal Depository Library Program responded to the survey. Respondents recommended and ranked up to 10 titles from lists of the 100 titles most selected by their library type as of March 2005. Only titles in tangible format in the List of Classes were included on the lists. Respondents were

allowed to “write-in” up to three titles not included on the list for their library type.

GPO now needs to determine how to move from the survey results to decisions on specific titles for tangible distribution to all or specific types of depository libraries. Results for each type of library are included in the registration packets, showing the top items recommended. Complete results are online at: <http://www.gpoaccess.gov/essential/statistics.html>.

The list of Essential Titles developed in 2000 included primarily items selected by over 1,000 depositories. In contrast, the highest number of recommendations for a single item

in the recent survey was 373. This seems to represent less of community consensus on the recommendations than for the existing essential titles. In fact, there are many items not on the essential titles list that have higher selection rate than the level of recommendations, either in aggregate, or by library type. It is surprising that more of the highly selected items were not recommended as essential titles.

ASSUMPTIONS

1. 95% of new titles coming into the FDLP are available online, whether or not they are also distributed in tangible form.
2. The transition to a primarily electronic FDLP was an incremental process and it is nearly complete.
3. Federal agencies are publishing more “born digital” documents and increasingly relying on the Internet, rather than print, as the primary distribution for agency publications.
4. Federal agencies play a significant role in determining whether their publications are published in electronic or tangible form.
5. SOD 71 will become ID 71 and will continue evolve as the basis for access and dissemination to U.S.

Government information through the FDLP.

1. Essential Titles will continue to be distributed in a tangible format.
2. Maps and other items, for which there is currently no useful electronic format, need to be distributed in tangible form.
3. Tangible titles include products that are disseminated in either print, CD/DVD, diskettes, video, or microfiche.

QUESTIONS

1. Does Council agree with these assumptions?
2. Does the proposed revision of SOD 71 to ID 71 adequately provide for this evolution?
3. With limited fiscal resources what criteria should GPO use to determine tangible distribution? Or is everything covered in ID 71?
4. What criteria should GPO consider in updating the Essential Titles list?
5. How can GPO most effectively utilize the survey results in this process?
6. Are there other elements of tangible distribution that GPO should be considering?

Council Briefing Topic – Spring 2005

National Collection of U.S. Government Publications

The National Collection of U.S. Government Publications (National Collection) supports the Federal Depository Library Program (FDLP) in its mission to ensure no-fee permanent public access to the official publications of the United States Government regardless of format.

The National Collection includes preservation and access copies of digital publications and

tangible publications. The National Collection will consist of geographically-dispersed collections of tangible and digital publications, located at multiple sites, and operated by various partners within and beyond the U.S. Government. This briefing topic is focused on the National Collection dark archives for preservation of tangible and digital publications.

CONCEPTUAL OVERVIEW OF THE NATIONAL COLLECTION

Contents	National Collection Preservation Sites	Access Collections for Public Use
Tangible publications	Dark archives with preservation copies	Light archives (minimal use, active preservation), or Depository library collections (normal preservation efforts) with access copies
Digital publications	Dark archives with digital preservation masters	Service archives at GPO or partner sites with access copies or derivatives

For tangible publications the dark archive(s) include preservation copies which are only used when all other avenues to obtain a copy have been exhausted. Public access is provided from depository library collection access copies, or from light archives, which have minimal use and active preservation.

Preservation copies of digital publications will be maintained in dark archive(s), and used to create access copies or derivatives for delivery from GPO service archives or partner sites.

GPO will provide online public access and other publications and services derived from the digital preservation masters and other items in the National Collection. Access copies, also referred to as “derivatives,” of

the stored digital publications will be available for no-fee online use by the public.

Publications in GPO portions of the National Collection will be bibliographically controlled using GPO’s Integrated Library System. The cataloging records will be part of the National Bibliography data base, provided to OCLC, and made available to requesting libraries and vendors. Ultimately, preservation metadata will be included in GPO’s Future Digital System.

KEY ASSUMPTIONS FOR THE COLLECTION

1. The National Collection primarily supports the FDLP goal of no-fee permanent public access, but also supports other GPO information

- dissemination and preservation programs.
2. General administration of the National Collection and management of the tangible and digital publication dark archives are inherently governmental functions.
3. Publications in the National Collection will be included in the National Bibliography of U.S. Government Publications.
4. National Collection assets will be maintained in geographically-dispersed locations. A National Collection segment may be consolidated in a single location or as a distributed collection at multiple sites which together form a single collection.
5. National Collection management will be benchmarked against the criteria for assurance developed by the Center for Research Libraries or successor documentation of best practices..
6. National Collection preservation activities for digital resources will be based on the agreement between GPO and the National Archives and Records Administration (NARA) designating GPO as an archives affiliate.
7. The National Collection includes the FDLP Electronic Collection.
8. National Collection assets in the “dark archives” are held for preservation rather than public access.
9. Access copies of the National Collection assets are publicly
- accessible from light archives (tangible) or service archives (digital).
10. GPO will acquire tangible copies from a variety of sources, including the transfer of portions of the legacy FDLP Collections from depository libraries to GPO.
11. The tangible publications in the National Collection will be digitized for preservation and access. After digitization the original publication, even if disbound, will be retained and preserved in case the item must be digitized again in the future.
12. Tangible copies of “born digital” publications will be produced for the dark archive as backups for the digital publications. Tangible copies in the National Collection dark archive will, to the extent practicable, be produced on archival media.

NEW INFORMATION

National Collection Acquisitions

The National Collection receives two copies of every in scope tangible publication printed by or through GPO, whether or not it is distributed through the FDLP in tangible form. GPO will preserve the digital master files, access files, and other derivatives.

In addition, there have been a number of important acquisitions from depository and Federal libraries, including:

- Complete *U.S. Congressional Serial Set*
- Complete *Records of the War of the Rebellion*
- Bound *Congressional Record*, 1866-1873

- *Foreign Relations of the United States, 1907-1957*
- 82 folios of the *Geologic Atlas of the United States*
- *Monthly Catalog, 1959-1999*
- *Federal Reserve Bulletin, 1918-2002*
- Over 50 years of reports from the U.S. Tax Court
- *Social Security Bulletin, 1939-1989*
- Numerous U.S.G.S. Circulars

Future Digital System

Preservation is one of the core functions of GPO's Future Digital System (FDSys). The FDSys planning team, under the leadership of the Office of Innovation and New Technology, has developed a detailed set of requirements for the System. Overall, the System design conforms to the OAIS (Open Archival Information System Reference Model, ISO 14721:2003) reference model for an archive. Preservation planning for the FDSys includes requirements for storage, access, preservation processes, metadata, security, system workflow and administration, and other functions.

Center for Research Libraries' Publication

GPO recently placed online *Baseline Requirements for Digital Reformatting and Delivery of Legacy Federal Documents Collections*, prepared for GPO by the Center for Research Libraries. The report describes CRL's recommendations for the minimum requirements governing file formats, interoperability, accessibility, asset management controls, and other aspects of digital reformatting and delivery for print and microform legacy materials. This report was used in developing the preservation requirements for the FDSys. The Baseline Requirements report is available from the FDLP Desktop at:

http://www.access.gpo.gov/su_docs/fdlp/pubs/crl_digital_baseline_112904.pdf and is included as an attachment.

NARA

GPO and NARA are discussing transforming the set of FDLP tangible publications that NARA currently holds for GPO into one of the proposed National Collection dark archives. That would allow NARA to move that material to storage, providing greater preservation for those materials. NARA will continue to refer users to FDLP collections for tangible documents and will use the digital copies in the EC for access. GPO is working with NARA to develop procedures for the addition of publications to the National Collection dark archive that were not previously distributed to depository libraries. This will allow GPO to assemble comprehensive coverage of all content that should be in the FDLP, whether it was distributed at the time of publication or not.

QUESTIONS

1. Are the revised assumptions on the National Collection still appropriate, or should something be changed or added?
2. Now that the plan for the National Collection has been revised in light of discussions with Council and other public comments, are there elements of the plan that need further refinement or need to be added?
3. In the event that a publishing agency indicates a desire to withdraw a publication from the FDLP, does the proposed revision of ID 72 adequately provide for necessary actions?

Council Briefing Topic – Spring 2005

National Bibliography of U.S. Government Publications

GPO is developing the National Bibliography of U.S. Government Publications (National Bibliography) that fully meets the statutory requirements of 44 U.S.C. 1710-1711. By law GPO is charged with preparing and publishing a “comprehensive index of public documents,” including “every document issued or published ... not confidential in character.”

GPO’s National Bibliography is a comprehensive catalog containing descriptions and locations of U.S. Government unclassified publications in all formats. The National Bibliography describes any publication, regardless of form or format, that any U.S. Government agency publishes, disseminates, or makes available to the public, as well as any publication produced for administrative or operational purposes, that is of public interest or educational value. Publications represented in the National Bibliography are acquired from official sources or sites, and are not subject to official use or security classification restrictions.

Initially the National Bibliography database will consist of GPO-produced bibliographic records representing titles cataloged from 1976 to the present. Once the ILS initial implementation is completed in spring 2005, GPO plans to expand the National Bibliography database by adding pre-1976 records, records created by cooperative cataloging partners and other institutions, as well as records converted from other bibliographic or metadata formats. Building the National Bibliography legacy database is a project that will span multiple fiscal years,

while adding records for new publications is an ongoing effort.

Functionally, the National Bibliography will be a principal output of the Integrated Library System (ILS), Ex Libris’ Aleph 500. GPO will develop one or more relational databases of library cataloging and other metadata records that describe and link to U.S. Government publications in a variety of formats and locations. The National Bibliography will utilize metadata resources created by GPO, by other agencies, and by partner institutions. The ILS’ federated search function will provide the capability to search across a distributed set of metadata resources from other institutions and display a combined result set. The public face of the ILS will be GPO’s Online Public Access Catalog.

Planning for the National Bibliography emphasized ways to improve the comprehensiveness of GPO’s cataloging and metadata programs, to enhance the usability of GPO’s bibliographic products and services, to operate a standards-based national library quality program, and to enhance the public’s ability to identify and locate U.S. Government publications.

BIBLIOGRAPHIC CONTROL OF THE NATIONAL COLLECTION

Bibliographic access to all publications in GPO’s portion of the National Collection will be provided through GPO’s National Bibliography and potentially by other metadata services. Cataloging records for online publications will include a persistent

link to the publication. GPO's goal is that digital publications will be accompanied by preservation metadata describing their content, file type, provenance, etc.

Bibliographic control will be provided to the individual publication level for all access copies of publications in the National Collection. Applying metadata at this level will enhance the performance of federated search tools and OpenURL linking technologies. GPO bibliographic records will conform to the practices and standards established for the National Bibliography. Digital publications intended for print-on-demand reproduction and sales will also have book industry standard metadata. The metadata for digital publications should indicate the permitted access to that item if any restrictions apply. Other or additional metadata systems or elements may be applied to other portions of the National Collection.

NEW INFORMATION

To improve communication about GPO's cataloging practices and developments, ID has created a National Bibliography News page on GPO Access at http://www.access.gpo.gov/su_docs/fdlp/cip/index.html.

Beginning February 1, 2005, the OCLC holdings symbols of 30 regional depository libraries have been added to the bibliographic records GPO contributes to OCLC WorldCat. Working with GPO, OCLC has developed an automated batch loading process to set the holdings, which is run daily. This project will bring improved public and library community awareness of resources available in Federal depository library collections through an increased number of bibliographic access points and facilitated interlibrary loan of tangible U.S. Government publications. Adding OCLC symbols to GPO-produced cataloging originated as a suggestion from

regional depository librarians. Most recently, the Oklahoma Department of Libraries and the University of Maine joined the project, bringing the total to 32 regionals participating.

At the Midwinter meeting of the American Library Association, GPO announced that the Office of Bibliographic Services would begin creating a unique bibliographic record for each manifestation, or version, of a title, at the same time that the ILS goes live. This issue was first raised in the *National Bibliography of U.S. Government Publications: Initial Planning Statement*, published in draft June 18, 2004, and was also discussed at the October 2004 meeting of the Depository Library Council. This issue engendered a large number of comments, the majority of which favored creating a unique record for each publication or version. Reasons supporting GPO's intent to create unique records include:

- More precise searching by format in the OPAC.
- Bibliographic record accuracy for libraries that receive only one format of a Government publication.
- Conformance with emerging national and international cataloging standards.
- Enables more precise version control and identification in content management systems such as GPO's Future Digital System.

KEY ASSUMPTIONS FOR THE NATIONAL BIBLIOGRAPHY

1. The Integrated Library System assists GPO in building the National Bibliography. A 21st century National Bibliography cannot be operated on GPO's legacy information technology (IT) platforms.

2. GPO will continue to contribute records to OCLC.
3. Initially, GPO's core National Bibliography database format will be AACR2 cataloging records in MARC21 format. As cataloging standards and metadata schema evolve, GPO's use of metadata schema and cataloging formats will also evolve.
4. Other bibliographic formats may be ILS/National Bibliography system inputs or outputs. Possible system input or output formats include, but are not limited to:
 - a) MARC21
 - b) ONIX
 - c) GILS
 - d) Preservation metadata
 - e) Dublin Core
 - f) COSATI
5. When GPO performs original cataloging, the default level of cataloging applied to U.S. Government publications, regardless of format, will be equivalent to OCLC "Full" level. Following applicable standards, GPO will apply different levels of cataloging in some cases, such as when converting records for older materials without the described publication in hand.
6. National Bibliography cataloging records will come from multiple sources, including:
 - a) GPO original cataloging
 - b) Record imports
 - c) Conversion of pre-1976 GPO bibliographic records
 - d) COSATI-MARC conversions
 - e) Harvested metadata
 - f) Metadata from content originators
 - g) Records contributed by depository libraries and other partners
 - h) Preservation metadata from legacy digitization projects
7. The National Bibliography will provide public access and location information for all items in GPO's portion of the National Collection.
8. GPO cataloging policies and procedures will be documented and communicated proactively.
9. GPO will continue its participation in the LC Program for Cooperative Cataloging (PCC) Programs. These include:
 - a) NACO (name authorities)
 - b) SACO (subject authorities)
 - c) CONSER (serial cataloging)
10. GPO will continue to assign Superintendent of Documents classification numbers to publications made available to Federal depository libraries.
11. No fees will be charged to search the National Bibliography or to link to publicly available data described therein.
12. No fees will be charged to depository libraries to download bibliographic records from the National Bibliography.
13. Location information in the National Bibliography includes persistent links to online resources and a mechanism to identify the depository libraries that hold tangible publications.

QUESTIONS

1. Are the revised assumptions on the National Bibliography still appropriate, or should something be changed or added?
2. Now that the plan for the National Bibliography has been revised in light of discussions with Council and other public comments, are there elements of the plan that need further refinement or need to be added?

Council Briefing Topic – Spring 2005

Authentication

SETTING THE STAGE

Authentication is a critical function of GPO's planned Future Digital System (FDSys). As outlined in the FDSys Concept of Operations document, the authentication function will verify the authenticity of digital content within the FDSys, and certify this to users accessing the content. In order to move forward with its authentication initiatives, GPO has identified the need to develop concrete policies that address the authentication and certification of electronic Government publications. In order to keep within GPO's mission to provide permanent public access to official or authentic U.S. Government publications, GPO is currently implementing a Public Key Infrastructure (PKI) initiative to ensure the authenticity of its electronically disseminated content.

GPO recognizes that as more Government information becomes available electronically, data integrity and non-repudiation of information become more critical. The primary objective of GPO's authentication initiative is to assure users that the information made available by GPO is official and authentic and that trust relationships exist between all participants in electronic transactions. GPO's authentication initiatives will allow users to determine that the files are unchanged since GPO authenticated them, help establish a clear

chain of custody for electronic documents, and provide security for and safeguard Federal Government publications that fall within scope of the National Collection of U.S. Government Publications.

NEW INFORMATION

The following key issues pertain to GPO's authentication initiative.

Levels of Authentication

The provenance and fixity of an electronic publication is directly related to its level of authentication. GPO will inform users about a publication's integrity and chain of custody through the designation of at least two different levels of authentication, "authentic" and "official." GPO defines authentic as content that is verified by GPO to be complete and unaltered when compared to the version received by GPO. Official content is content that falls within the scope of the National Bibliography and is approved by, contributed by, or harvested from an official source in accordance with accepted program specifications.

Integrity Mark

The process of certification will produce an integrity mark that may include an emblem and a certificate. Emblems and certificates will allow users to determine if files have been changed since GPO authenticated them, and help establish a clear chain of custody for electronic documents. Emblems may be presented to users in various ways, such as visible emblems or invisible emblems.

GPO will provide a visible emblem to notify users of the authentication status of a publication in accordance with the required approval, when feasible, of the content originator. The visible emblem should contain the official GPO authentication seal and/or official seal for the publishing agency.

It is recommended that the following information be available in the digital certificate:

- Certifying organization
- Date of the signature/certification
- Digital time stamp
- Reason for signing
- Location
- Contact information
- Name of entity that certified the publication
- Level of authentication
- Expiration date of signature / certification
- Notification of changes occurring to the document

Granularity

Feedback from Federal agency publishers, Congress, and users has revealed the need to authenticate granular sections of publications. Therefore, while digital files will be authenticated by GPO at the entire document level, in the future GPO must also provide a means by which subdivisions of documents

can be certified in an automated fashion, based upon the certification already applied to the entire document.

IMPLEMENTATION

GPO has nearly completed the installation of digital signing tools using PKI. The purpose is to enable the application of digital signatures to authenticate *GPO Access* files. The first digitally signed documents are expected in May, starting with Congressional Bills of the 109th Congress. Simultaneously, steps are being taken to complete the cross-certification of GPO's PKI operations with the Federal Bridge Certification Authority (FBCA) to ensure that business, administrative, and technical processes related to GPO's PKI match those of the Federal Bridge. The FBCA is a fundamental element of the trust infrastructure that provides the basis for intergovernmental and cross-governmental secure communications.

ASSUMPTIONS

1. PKI digital signatures will provide GPO with the capability to certify electronic content as authentic and official.
2. The authentication system will provide the capability to verify and validate the authenticity of deposited, harvested, and converted content.
3. GPO will provide the capability to provide date and time verification for certified content.
4. GPO's authentication system will support the capability to authenticate content that has already been authenticated at earlier stages in the publishing process.

QUESTIONS

1. Are the assumptions in this document correct?
2. As GPO works toward the implementation of its strategic vision, are we approaching the issue of authentication appropriately?
3. When should an integrity mark be visible or invisible?
4. To what level of granularity should GPO authenticate content?
5. When authentication information is already available from the publishing agency, should GPO retain and display that information in addition to GPO's own integrity mark?
6. Does Council concur with the following definitions for authentic and official content?
 - a. **Authentic Content:** Content that is verified by GPO to be complete and unaltered when compared to the version approved or published by the publishing agency.
 - b. **Official Content:** Content that falls within the scope of the National Collection of U.S. Government Publications and is approved by, contributed by, or harvested from an official source in accordance with accepted program policy and procedures.

Council Briefing Topic – Spring 2005

Versioning: The Future of Managing Changes in Digital Content at the U.S. Government Printing Office

SETTING THE STAGE

Digital content may change on a very frequent basis, and it is easy to transform content without identification or notification to users. Users want to be certain that they are using the version of information that meets their needs and to be able to track the history of changes that may have occurred. In the case of Federal information, multiple versions of Government publications are often publicly available on Web sites, which can be confusing and potentially damaging to users who are not aware of the version status of the document. Version tracking is a necessary operation in the management and

dissemination of Government information to ensure that citizens are accessing the appropriate documents. The following facts are presented to assist in the scheduled discussion.

Version Control is a critical function of GPO's planned Future Digital System (FDSys). As outlined in the FDSys Concept of Operations document, the Version Control function will establish the version of a piece of content and subsequently track it through its entire life cycle, based on best practices.

Currently at GPO, version control is combined with GPO's bibliographic control processes. GPO provides bibliographic control by observing a set of rules, standards, and local practices to create and maintain bibliographic records. The standards, rules, terminology, and definitions were originally formulated to address "book format" terminology and the traditional relationships within the book industry with publishers, distributors, and libraries. GPO's current functional requirements for bibliographic control are derived from the Machine-Readable Cataloging (MARC) 21 standard.

Electronic document standards and rules have only recently begun to deal with the nuances of the electronic publications. Currently, GPO applies the Cooperative Program for Serial Cataloging (CONSER) "single record option" as needed for cataloging purposes. GPO has investigated the implications of creating a unique bibliographic record for each manifestation or version of a publication and will begin implementing separate bibliographic records for titles available in multiple formats in conjunction with the implementation of the ILS.

It is easier to control versions in the print environment, because a new version is generated when an agency sends an updated publication to GPO to be printed. GPO has the responsibility to preserve information for permanent public access in the digital environment, but agencies are constantly changing information without officially issuing new versions. In many cases, documents are changed and re-posted with the same file name on Web sites, and users do not know that they are looking at a different version. GPO's commitment to version control will ensure that users have permanent public access to the appropriate versions of official Government publications.

NEW INFORMATION

In order to move forward with a comprehensive version control policy, GPO will need to fully define what constitutes a "unique manifestation of a publication" across all publication formats (e.g., monograph, serial). GPO will follow established best practices and standards when developing this policy.

GPO envisions that the future process of version control will include acquiring, cataloging, storing, preserving, and retrieving different versions of publications. This process may be accomplished by assessing various document attributes (e.g., structure, content, and format), creating metadata about these attributes, monitoring changes to the attributes, updating the metadata to indicate changes to the attributes, and creating links to related documents. In order to improve internal efficiencies and streamline workflows, the future version control process will be automated whenever possible, but subjective evaluation and interpretation may be required at various points through the process.

Version triggers are changes to a publication that progress beyond an agreed upon threshold or tolerance. In other words, version triggers should be the main indicators by which new versions of publications are detected. GPO will need to develop a comprehensive list of version triggers for all types of electronic publications that are made available through the FDLP.

The issue of identifying and detecting various versions of electronic publications represents a highly complex situation for version and bibliographic control. GPO's future version control process must deal with ambiguities routinely encountered for various kinds of documents and publications. These ambiguities make it difficult to detect and

determine if a publication is a version of an existing publication or a completely new publication for which a new record must be created.

Version identifiers distinguish between versions and are stored in the metadata for a given publication. Version identifiers should be created when a new version is detected. GPO will provide public access points to current and historical versions so that users may access any version for needed information. Version crosswalks will be stored in the metadata about a given publication, providing links to other versions and corresponding metadata of that publication. These links will be permanently available and persistent, to ensure users have access regardless of where they reside. Version crosswalks should also provide persistent and permanent links to other in-scope resources that may relate to the publication in question.

In the online environment, where new versions of online publications supersede older online versions, Federal depository libraries should continue to consider “FDLP Guidelines for Determining Superseded Materials.” However, depositories may apply their local best practices regarding identification of new and older versions of publications. They may also choose to remove bibliographic records representing older versions from their catalogs if they determine that this practice best suits the Federal Government information needs of their community. GPO will retain all bibliographic records as a part of the National Bibliography of U.S. Government Publications. GPO intends to maintain and periodically update the *Superseded List* to assist depositories with version identification. GPO will continue to provide public notes regarding supersession where appropriate in its online catalog.

ASSUMPTIONS

1. GPO will acquire, authenticate, catalog, preserve, and provide access to all published versions of official and authentic electronic Government publications that have been approved for dissemination to the public and are within scope of the National Bibliography and the FDLP.
2. Policies will be developed to address version control for different types of electronic resources (e.g. monographs, serials, series, databases, Web sites, video, audio, data streams, and multimedia).
3. Version information will be stored in the metadata associated with a given publication. The metadata will include information about the version of the publication being described and alternate versions of the publication.

QUESTIONS

1. Are the assumptions in this document correct?
2. As GPO works toward the implementation of its strategic vision, are we approaching the issue of Version Control appropriately?
3. What information should be included in policies that pertain to what constitutes a new version?
4. Version triggers are discussed in the Version Control White Paper. Are the outlined version triggers correct? Should other version triggers be included?
5. Should a format change be considered a version trigger?

[Handout]

FDLP Myths and Monsters

This educational program focuses upon the myths and monsters which have developed in the depository library program. The program dispels some of those pesky myths; it also sheds light on some of the issues that have become monsters.

Myths

- Myth: You have to isolate government documents from the rest of the library collection and organize the collection using the Superintendent of Documents Classification system.

Reality: There is no requirement to isolate government documents from the rest of the library collection. Each depository library is free to decide how best to manage their government documents collection.

- Myth: Government document collections must be housed in the basement.

Reality: GPO has no requirement mandating the physical location of the collection within a library beyond situating the collection in a location that allows access to the material.

- Myth: Government documents don't get used.

Reality: Government documents are utilized more and more, particularly as they are added to the library's OPAC. Outreach programs and training sessions with reference and other librarians can help increase comfort levels with government information.

- Myth: All government information is available on the Web.

Reality: While a great deal of U.S. Government information is available on the web, there is still a fair amount that is only available in tangible form and does not lend itself to electronic access, such as maps. Also, the vast majority of the legacy collection has not been digitized.

- Myth: Federal Depository Libraries aren't needed anymore because the public accesses government information online.

Reality: According to a study by the Urban Libraries Council, 75.2% of Internet users also continue to use the services of libraries. Use of the library and the Internet is directly related to educational attainment, and libraries received high ratings for ease of use, low cost, and helpfulness of librarians. The study is available online at <http://www.urbanlibraries.org>.

- Myth: Depository libraries must provide anybody access at anytime.

Reality: GPO recognizes the legitimate need for institutions to balance the security concerns of depository libraries with public access. GPO permits various methods of access by administrators to ensure security of their facility and personnel. Permissible actions include asking patrons for identification, asking users to sign a guest register, asking

questions that screen users to make sure that the library has what they need and even escorting users to the depository library.

- Myth: The *Instructions to Depository Libraries* and the *Federal Depository Library Manual* are written in stone.

Reality: The Instructions and the Manual are being revised to allow greater flexibility for depository libraries.

- Myth: A library, once it selects an item, can never get rid of it.

Reality: Material listed in the Superseded List may be discarded. Selectives may discard material 5 years after receipt with the permission of their Regional. All libraries may also apply the Substitution Policy which permits librarians to withdraw materials prior to 5 years by substituting online versions. Guidance is available at http://www.access.gpo.gov/su_docs/fd lp/coll-dev/subguide.html

- Myth: A depository library has to maintain a certain Item Selection Rate to remain a depository.

Reality: As long as they are not a Regional, a depository can select as little or as much as meets the needs of their community.

- Myth: The Shearer Measure (one hour of clerical staff time per percentage of item selection) is the standard measure for determining the staffing needs for a depository collection.

Reality: Both professional and paraprofessional staffing levels must be sufficient, in terms of hours allocated to the depository and in staff expertise, to meet depository responsibilities. Professional and technical support staff should be added depending on the size and scope of the library and methods of organization of the collection.

- Myth: The new economic model for GPO will eliminate free public access to government information.

Reality: GPO has an abiding commitment to provide free permanent public access to official federal government information and the Public Printer has upheld this commitment. In the Strategic Vision, he states one of the three essential missions of GPO is “to provide, in partnership with the Federal Depository libraries, for nationwide community facilities for the perpetual, free, and ready public access to the printed and electronic documents and other information products of the Federal government.”

GPO's Future Digital Content System – Status April 19, 2005

Presentation by Michael L. Wash Chief Technical Officer, Innovation and New Technology, GPO

Background

GPO's Future Digital System will be a world-class system for managing official Government content.

The system will verify and track versions, assure authenticity, preserve content, and provide permanent public access.

The system will be:

- Rules based
- Policy neutral
- Modular and adaptable

Recap from last review

The Concept of Operations was published in October of 2004.

This work serves as the basis for subsequent activities to be completed in future phases.

Concept of Operations:

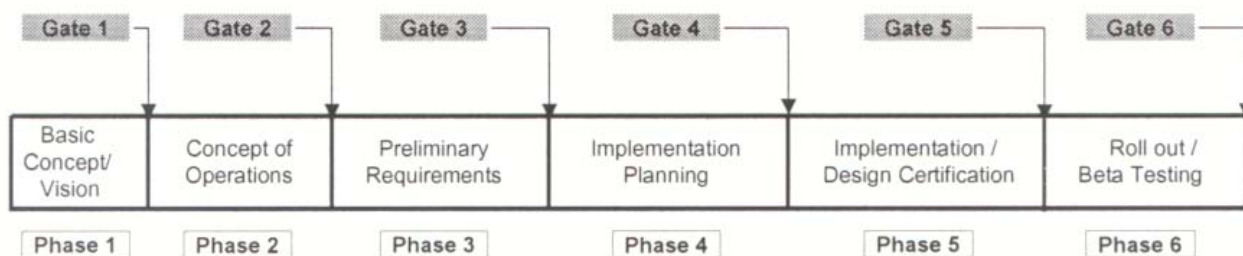
http://www.gpo.gov/projects/pdfs/ConOps_1004.pdf

October Presentation to the Depository Library Council:

<http://www.gpo.gov/projects/pdfs/presentation101704.pdf>

Program Management –Phases and Gates

GPO has implemented a phases and gates approach for managing the program. Work is performed in phases. Deliverables are reviewed at Gates.



System Requirements

- A *requirement* is a structured collection of information that embodies the requirements of a complex system.
- Requirements serve to reflect back to the customer and users by communicating what the system will do.
- Requirements also serve to communicate to

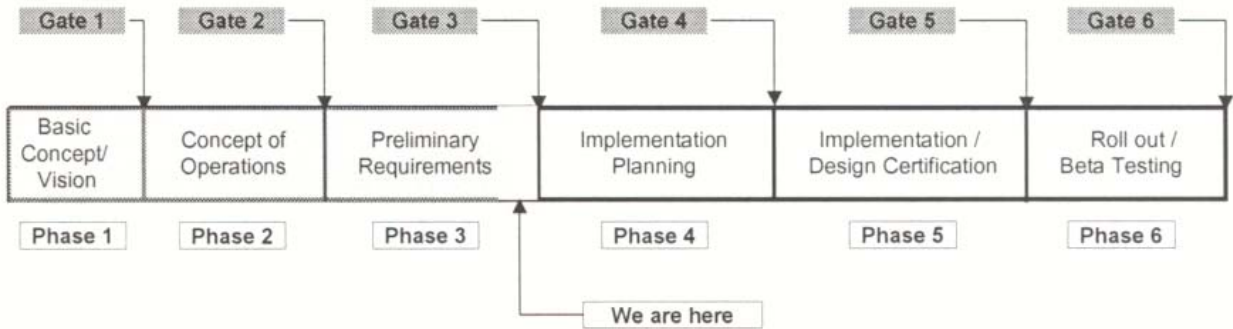
the development community regarding what needs to be developed for the system.

- Preliminary requirements developed under Phase 3 represent the core capabilities GPO intends to deploy.
- These requirements will serve as the benchmark for system development.
- Requirements will be updated as necessary to

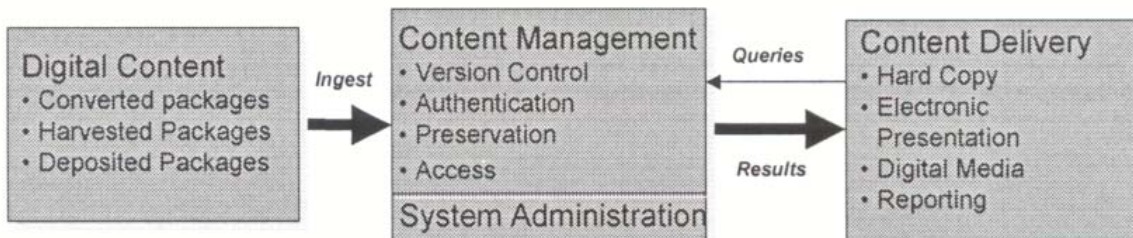
reflect customer needs and technology trends during Phases 4 and 5.

- Preliminary Requirements have been completed (~1,100 requirements).
- Final documentation (IEEE-1233) is being completed to support these requirements.

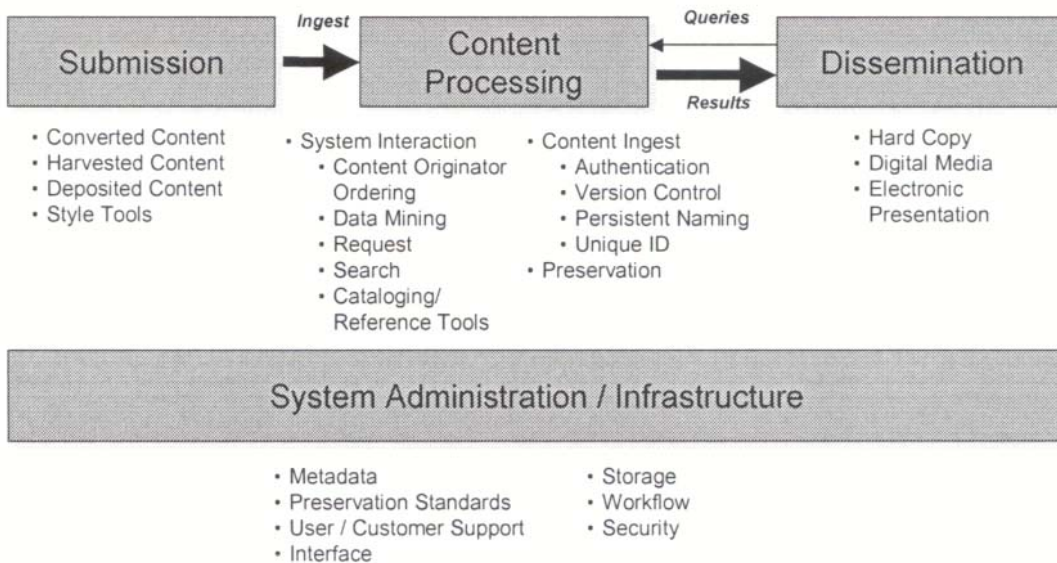
Status



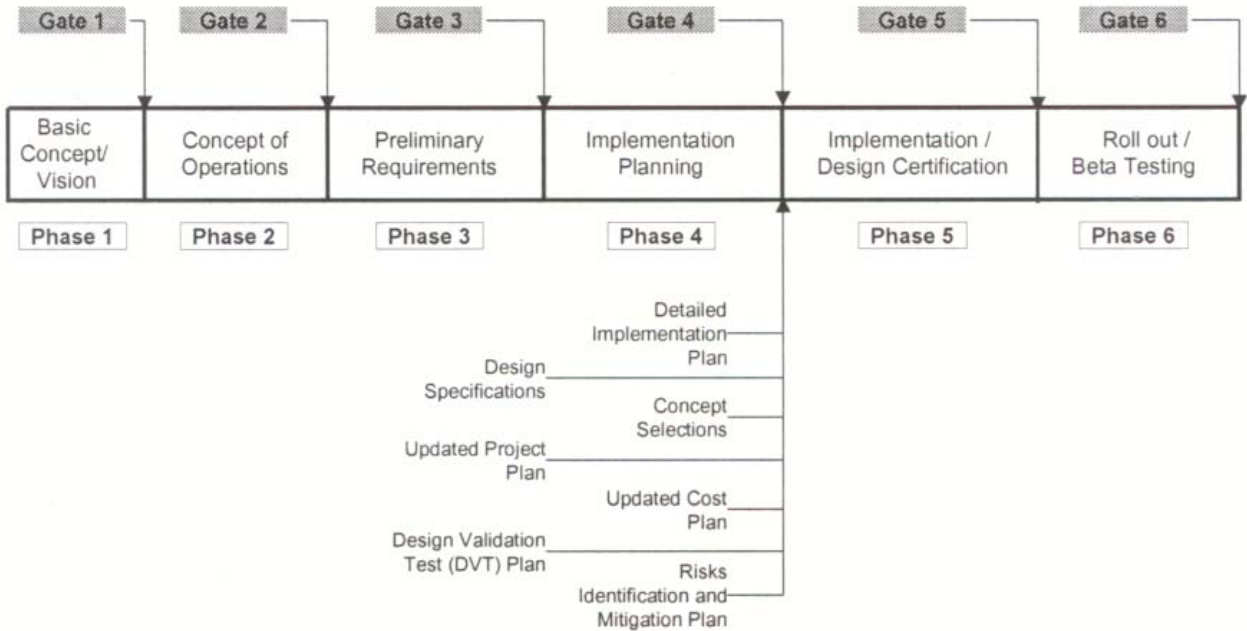
Functional Reference Model



Functional Reference Model - updated



**Next Step – Phase 4
Implementation Planning**



Phase 5 and Phase 6 Activities

- Phase 5 work will proceed on multiple tracks, and will include numerous development projects to test specific designs and approaches.
 - System Design
 - DVT Results
 - Final Requirements
 - Risk Identification and Mitigation
 - Updated Project Plan
 - Updated Cost Plan
 - Beta Test Plan

- Phase 6 work consists of rolling out the system capability.
 - Beta Test Results
 - Final Cost
 - Sustainment Plan

Summary

GPO’s Future Digital System will be a world-class system for managing official Government content, which will verify and track versions, assure authenticity, preserve content, and provide permanent public access.

Work is progressing to plan. GPO is now entering the Implementation Planning phase.

[Presentation]

The New Electronic Depository Library Manual

Janet M. Scheitle
 Director, Office of Library Program Planning
 April 20, 2005

Purpose of Session

- Report on our efforts to update the manual
- Explain what we envision as content
- Incorporate feedback from the community
- Outline steps for revision

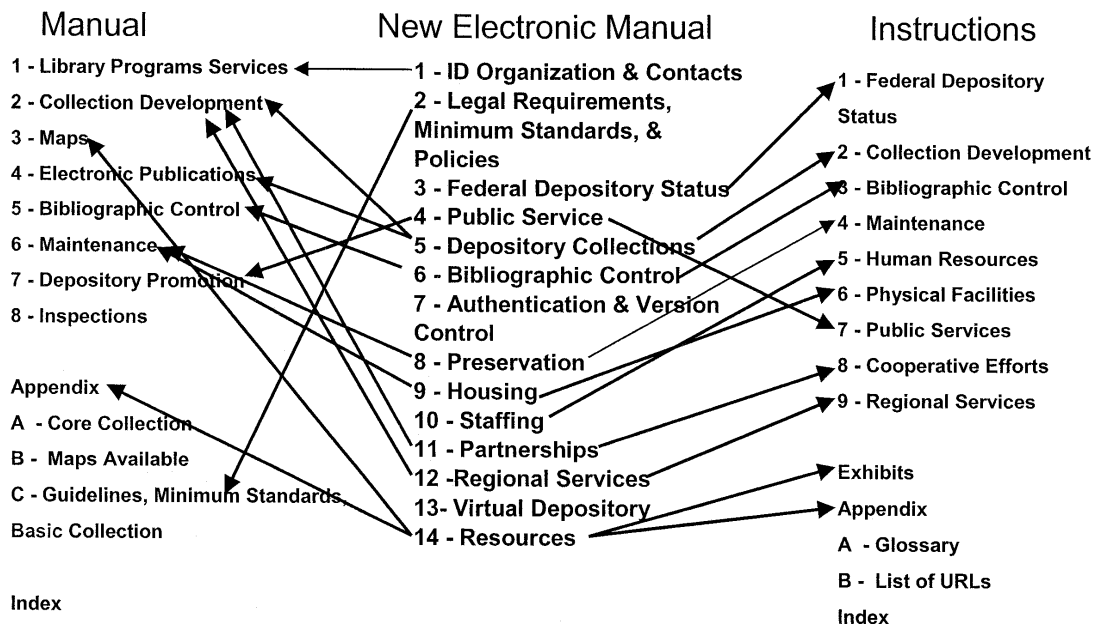
Reasons for Revisions

- Nature of program is changing
- Nature of our efforts is changing
- Consolidate several previous documents
- Refresh contents
- Document good practices, lessons

learned Process for Revising

- Review and consolidate existing documents
- Advice of DLC and Depository community
- Cross-walk new to old
- Develop a draft framework
- Work with community
- Initial release by Fall conference

New Electronic Depository Library Manual Comparison of Chapters



Chapter 1: ID Organization and Contacts
ID Organizational Structure
Contact Center as main Point of Contact

- Mon-Fri, 8-5
- (202) 512-1800 / Toll Free (866) 512-1800
- ContactCenter@gpo.gov

Chapter 2: Legal Requirements, Minimum Standards, Policies
Title 44, Chapter 19, Sec 1909
Minimum Standards
Policies

Chapter 3: Federal Depository Status
Define FDLP
Purpose of the FDLP
Designation
Withdrawal

Chapter 4: Public Service
Define Public Service
Public Service Functions
Access
Reference and Research Services to Users
Referrals
Circulation of Materials
Marketing to Users

Chapter 5: Depository Collections
Purpose
Scope
Collection Development
National Collection
Collection Management

Chapter 6: Bibliographic Control
ILS and its Impact
Pushing Records
Future of Cataloging at GPO
Link to NC and NB

Chapter 7: Authentication, and Version Control
Authentication
Version Control

Chapter 8: Preservation
Definition
Process
Tangible Products
Electronic Products
Dark and Light Archives

Chapter 9: Housing
Tangible collections

- Current
- Historical

Electronic collections
Shared Housing Agreements (also Chapter 11)

Chapter 10: Staffing
Responsible Officials
Staffing Levels
Training

Chapter 11: Partnerships
Content
Partnerships
Service Partnerships
Hybrid Partnerships

Chapter 12: Regional Services
Designation
Responsibilities of a Regional
Minimum Service/Performance for Regionals

Chapter 13: Virtual Depository
Define an “almost” virtual depository

- Characteristics
- Requirements
- Functions
- Services
- Support levels

Chapter 14: Resources
Resources

- Tab A - Electronic Shipping List
- Tab B - Essential Title Shipping List
- Tab C - Administrative Notes
- Tab D - Selective Housing Agreement
- Tab E - Essential Titles Survey
- Tab F - Digitization Ranking Survey
- Tab G - Minimum Standards to be revised

- Tab H - Glossary
- Tab I - Core Legacy Collection by Library Type

Next Steps

Work with DLC

Work with Depository community

Incorporate feedback

Target date for initial release Fall conference

Table of Contents

Public Printer Bruce James Appoints New Council Members, Salutes Outgoing Members	1
Depository Library Council Meeting Update, April 2005	3
Council Briefing Topics – Spring 2005	
Future Tangible Distribution to Depository Libraries	6
National Collection of U.S. Government Publications	9
National Bibliography of U.S. Government Publications	12
Authentication.....	15
Versioning: The Future of Managing Changes in Digital Content at the U.S. Government Printing Office	17
FDLP Myths and Monsters.....	20
GPO’s Future Digital Content System – Status, April 19, 2005	22
New Electronic Depository Library Manual.....	25

Administrative Notes Cumulative Table of Contents
http://www.access.gpo.gov/su_docs/fdlp/pubs/adnotes/adnotes_toc.pdf
Updated with each issue
Searchable by keyword

Administrative Notes is published in Washington, DC by the Superintendent of Documents, Government Printing Office, for the staffs of U.S. Federal Depository Libraries. It is published on the 15th day of each month; some months have additional issues. Postmaster send address changes to: Administrative Notes
U.S. Government Printing Office
Stop IDED
Washington, DC 20401
Internet access at: http://www.access.gpo.gov/su_docs/fdlp/pubs/adnotes/index.html