

Decision Framework for Federal Document Repositories

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This draft Decision Framework for Federal Document Repositories was prepared by the Center for Research Libraries (CRL) for the U.S. Government Printing Office. The decision framework is intended for use in creating the specifications for a system of regional repositories for tangible federal government documents. The decision framework will enable the Superintendent of Documents to evaluate the qualities, resources, and capabilities of potential repository facilities and their governing organizations, and to identify the configuration of light and dark repositories most appropriate to ensure the persistent archiving and public availability of tangible federal documents.

The target system of repositories will include depository libraries, which will make federal documents available to the general public in conformance with the requirements of the depository system; possibly multiple “light” archives providing coordinated preservation and access services for designated categories of tangible documents, and at least one “dark” or secure archive, whose purpose will be to ensure survival of archival copy (copies) of the tangible documents.

The functions of the light and dark archives are defined below. These working definitions derive from the purposes that such archives would serve under the GPO and the FDLP efforts to provide a “collection of last resort.” Formation of such archives would enable Federal depository libraries to consolidate or reduce their local tangible collections secure in the knowledge that copies will be perpetually available from the GPO Collection.

Dark archive – A collection of tangible materials preserved under optimal conditions, designed to safeguard the integrity and important artifactual characteristics of the archived materials for specific potential future use or uses. Eventual use of the archived materials (“lighting” the archives) is to be triggered by a specified event or condition. Such events might include failure or inadequacy of the “service” copy of the materials; lapse or expiration of restrictions imposed on use of the archives content; effect of the requirements of a contractual obligation regarding maintenance or use; or other events as determined under the charter of the dark archives.

Light archive – A collection of tangible materials preserved under optimal conditions, designed to safeguard the integrity and important artifactual characteristics of the archived materials while supporting ongoing permitted use of those materials by the designated constituents of the archives. A light archive normally presupposes the existence of a dark archive, as a hedge against the risk of loss or damage to the light archives content through permitted uses. A light archive is also distinct from regular collections of like materials in that it systematically undertakes the active preservation of the materials as part of a cooperative or coordinated effort that may include other redundant or complementary light archives.

The decision framework is tailored to the nature, value and uses of documents to be maintained on both light and dark archives and in depositories. In developing the decision framework CRL has referenced existing auditing standards for federal depository libraries and statistical metrics and standards for quality assurance and sampling.

The decision framework takes the form of a matrix identifying the archiving activities and conditions affecting the survival and persistent availability of “tangible” federal government documents, including but not limited to levels of access, service layers, institutional governance and funding base, nature of the constituent base, geographical location, security, and level of content validation. The matrix indicates the relative levels of cost and risk associated with each factor.

The factors are made to be assessed cumulatively. The assurance matrix does not provide or establish standards for archiving and tangible repository activities, but merely the degree to which various levels and standards of activity are likely to promote the persistence and availability of the government documents.

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Draft Assurance and Decision Framework -- Part 1

Assurance level	FACILITIES	Factors	Additional Values	References
			Low value >>> High value	

Storage Environment

Climate Control

low	"General user" conditions: a steady temperature of 70° and 50% RH are maintained at all times. (Preservation Index of ~42 years)			Reilly, James M., Douglas W. Nishimura, and Edward Zinn. <i>New Tools for Preservation: Assessing Long-Term Environmental Effects on Library and Archives Collections</i> . Washington, DC : Commission on Preservation and Access, 1995. Reilly, Nishimura, et al.
med	"Staff use only" conditions: a steady temperature of 60° and 30% RH are maintained at all times. (PI of ~142 years)			Reilly, Nishimura, et al.
high	"Cold storage" conditions: a steady temperature of 32° and 5% RH are maintained at all times. (PI of 2634 years)			Reilly, Nishimura, et al.

Lighting and Ultra Violet Radiation -- The extent and intensity of light exposure in gov docs storage area

low	Material is periodically or continuously exposed to ultra violet lighting conditions (below 450 nm).			Wilson, William K. <i>Environmental Guidelines for the Storage of Paper Records</i> . NISO Technical Report, TR01-1995. Bethesda: NISO Press, 1995
high	UV lighting is filtered (below 415 nm) and/or minimized. Material is not exposed to ultra violet radiation and light sources are kept to a minimum (e.g., motion sensor lighting and automatic shut off).			Wilson. <i>Environmental Guidelines</i> Wilson. <i>Environmental Guidelines</i>

Air Filtration--Particulate Matter -- The relative exposure of gov docs to air-borne contaminants in storage area

low	"General user" conditions: level of air filtration of particulate matter is 60-89% of contaminants.						Wilson, William K. Environmental Guidelines for the Storage of Paper Records. NISO Technical Report, TR01-1995. Bethesda: NISO Press, 1995
		60%					Wilson. Environmental Guidelines
	"Staff only" conditions: level of air filtration of particulate matter is 90-95% of contaminants.	90%	91%	92%	93%	94%	
high	Level of air filtration of particulate matter is 95% of contaminants or higher.	95%	96%	97%	98%	99%	Wilson. Environmental Guidelines

Air Filtration--Gaseous Contaminants -- The relative exposure of gov docs to gaseous contaminants in storage area

low	Gaseous contaminants not filtered and/or measured						Wilson, William K. Environmental Guidelines for the Storage of Paper Records. NISO Technical Report, TR01-1995. Bethesda: NISO Press, 1995
high	Gaseous contaminants measured and partially filtered Gaseous contaminants measured and highly filtered. Air filtration minimizes gaseous contaminants (e.g., sulfur dioxide, nitrogen dioxide, ozone) to no more than 10 parts/billion/ volume.						Wilson, William K. Environmental Guidelines. Wilson, William K. Environmental Guidelines.

Physical Plant

Geographical locale

low	Facility is located on or near a fault line / flood plain, or in a severe weather zone (e.g., subject to hurricanes, tornados). Facility is located in a stable area						Federal Emergency Management Administration guidelines for risk assessment and mitigation Federal Emergency Management Administration guidelines for risk assessment and mitigation
high	Facility is located in a stable area and is reinforced, seismically sound.						Federal Emergency Management Administration guidelines for risk assessment and mitigation

Strategic locale

low	Facility is located in or near an area of strategically important potential targets						Federal Emergency Management Administration guidelines for risk assessment and mitigation
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high Facility is remote from strategically important potential targets

Federal Emergency Management Administration
guidelines for risk assessment and mitigation

Structure

low Repository occupies a secondary use, shared facility or a facility converted from another use.

Repository occupies a dedicated library facility with public spaces

high Repository occupies a purpose-built, fire- and waterproof, secure storage structure

Protection from Water Damage

low Storage space is not monitored for water leaks, damage.
Repository storage is monitored during open hours

40	50	60	70	80
hrs/wk	hrs/wk	hrs/wk	hrs/wk	hrs/wk

high Automatic water sensors + 24/7 human monitoring

Fire Safety

low Automatic alarm system + suppression system
Open hours human monitoring + automatic alarm system +
aqueous suppression system

40	50	60	70	80
hrs/wk	hrs/wk	hrs/wk	hrs/wk	hrs/wk

high 24/7 human monitoring + automatic alarm system + aqueous
suppression system

Security

low No significant barriers to unsupervised access to collection
storage areas

high Access to collections storage is under supervision only
Access to and egress from reading room facility is monitored.

Current Capacity -- Availability of space for expansion of repository holdings

low Repository storage space is adequate to five years or less of gov docs collection growth

Storage space adequate to ten years of gov docs collection growth

high Storage space adequate to more than ten years of gov docs collection growth

Growth Potential

low No expansion plan has been approved by repository funding authority.

Growth plan beyond ten years has been assured by funding authority.

high Funded expansion plan for over fifteen years of gov docs collection growth.

11 yrs

12 yrs

13 yrs

14 yrs

15 yrs

16 yrs

[. . .] yrs

Configuration

Reference Space

Assurance level is a function of the ratio of dedicated reference staff work space (in square feet) to number of gov docs patrons

Public Space - Accessibility

minimum requirement Public areas provide unrestricted access in compliance with minimum requirements of the Americans for Disabilities Act

Americans with Disabilities Act

Public Space -- Furnishings and Equipment

Assurance level is a function of the number of microform reader-printers and other workstations to the number of gov docs patrons per year

Processing Space

Assurance level is a function of the amount of dedicated gov docs processing space (in square feet) to number of gov docs received per year

Draft Assurance and Decision Framework-- Part 2**SERVICES**

Assurance level	Factors	Additional Values
Low value >>> High value		
Physical Maintenance		
<i>Repair and Restoration</i>		
low	Repository library staff are capable of providing routine repairs only.	
	Repository library has trained binder/conservator on staff or available on contract basis	Assurance level is a function of the ratio of binder / conservator FTE's to volumes
high	Repository library has dedicated paper conservation and bindery department.	Assurance level is a function of the ratio of binder / conservator FTE's to volumes
<i>Replacement Procedures</i>		
low	Materials are replaced on an ad hoc basis, as resources allow.	
	Materials are replaced promptly as needed, from general budget allocation	Assurance level is a function of the ratio of allotment for replacement/repair to number of gov docs holdings
high	The repository has an established workflow and standing budget line for replacement of gov docs. Factor: ratio of replacement budget to no. of volumes	Assurance level is a function of the ratio of allotment for replacement/repair to number of gov docs holdings
Disclosure of Holdings		
<i>Cataloging / metadata production</i>		

low	The repository makes available published GPO catalogs, guides, indexes only
	The repository creates title and series-level bibliographic records for gov doc holdings
high	The repository creates and maintains item-level holdings records for gov doc holdings

Availability of data/metadata

low	Catalog and holdings records are available in a local file or database
	Catalog and holdings records are available in a union file or database
high	Catalog and holdings records are available in a national utility and a local file or database

Validation of Holdings -- The extent to which the repository's holdings are checked and verified against authoritative lists and records

Validation authority

low	The holdings are validated by the repository itself	Level of assurance is a function of the level of detail in specifications for self-evaluation, and demonstrable level of gov docs expertise of validator
high	The holdings are validated by an independent third party	Level of assurance is a function of frequency of validation and extent of sample

Ongoing validation/inventory

low	Series level validation against GPO catalogs, guides.	Level of assurance is a function of frequency of validation and extent of sample
	Item level validation against GPO catalogs, guides.	Level of assurance is a function of frequency of validation and extent of sample
high	Page level validation against GPO catalogs, guides.	Level of assurance is a function of frequency of validation and extent of sample

Sampling level

low	Sampling involves checking for inclusion, physical integrity of individual titles or series.	Level of assurance is a function of ratio of number of titles sampled to total number of titles held.
	Sampling involves checking for inclusion, physical integrity of individual volumes.	Level of assurance is a function of ratio of number of volumes sampled to total number of volumes held.
high	Sampling involves checking for inclusion, physical integrity of individual pages.	Level of assurance is a function of ratio of number of pages sampled to total number of pages held.

Inventory -- Systematic checking of shelves to confirm call number order of gov docs

low	At circulation, or when item is requested.		
	Periodic, triggered by moving, re-shelving, weeding or other event		
high	Frequent, scheduled	5-10 years	annual

Storage and Integration*Integration of Government Publication Collections*

low	Gov docs are integrated with other library collections
	Gov docs are stored by SuDoc scheme but stored with other library holdings
high	Gov docs are stored by SuDoc scheme and separate from with other library holdings

Proximity to Users

low	Gov docs are stored off-site but available next day through courier / delivery service
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Stored off-site but available next day through courier / delivery service

Stored on site and available on request in reading room

high

Maintenance and Physical Handling

Review of Materials on Receipt and Handling

Volume level condition check at point of receipt and use

low

Item-level verification against record at point of receipt and use

Page-level verification against record at point of receipt and use with content verification

high

Replacement Copies

Repository policy requires replacement of damaged or lost gov docs with photocopy / microfilm

low

Repository policy requires replacement of damaged or lost gov docs with recent edition

Repository policy requires replacement of damaged or lost gov docs with original edition

high

Physical Markings and Bibliographic Identifiers

Repository applies minimal markings required by GPO

low

Repository applies ownership markings to each item

high RFID or tag and ownership markings on each item

User Assistance -- The services through which repository libraries provide minimum reference assistance, as defined in Federal Depository Library Manual, to members of the public.

Level of assistance to on-site users

low Gov docs service provided at general reference desk

Federal Depository Library Manual, Appendix C, Supplement 2; FDLP Instructions to Depository Libraries

Service desk devoted to government docs

Federal Depository Library Manual, Appendix C, Supplement 2; FDLP Instructions to Depository Libraries

Service desk is in separate department devoted to gov docs.

Federal Depository Library Manual, Appendix C, Supplement 2; FDLP Instructions to Depository Libraries

high

Assistance provided to remote users

low Repository provides general information about gov docs holdings and services on request

Repository provides information on Web about gov docs holdings and services.

high

Email and/or dedicated-line telephone reference assistance provided for gov docs.

Staffing -- The qualifications and capabilities of the repository library's gov docs public service staff and Superintendent of Documents liaison

Staff credentials

low Staff have minimum on-the-job training for activities required by Federal repository Library Manual.

	Staff have MLS/MLIS + preservation training	
high	Formal government docs training (GPO council meeting workshops and new government documents librarians training, U.S. Census Bureau workshops) + MLS/MLIS + preservation training	
	<i>Level of staffing</i>	
low	No dedicated government docs trained library staff Less than one FTE dedicated government docs-trained librarian	
high	One or more FTE dedicated government docs-trained librarian.	Level of assurance is a function of the ratio of FTEs to number of patrons, docs

Accessibility - The degree of availability of the documents and their contents provided by the repository.

Access to originals -- general

low	No set timetable for processing and availability of material after receipt. Materials processed and available for public use within ten days of receipt.
high	Materials processed, cataloged, and available for public use within ten days of receipt.

Access to Originals - on-site

low	By appointment or under restricted conditions, such as limited hours of service, number of items requested, etc. Facility is normally restricted to authenticated constituents, such as matriculating students, faculty, members.
high	No restrictions to reasonable use of repository facility or holdings.

Access to Originals - local circulation

low	Gov docs do not circulate
	Gov docs circulate only to other libraries within parent institution
high	Unrestricted circulation

Remote Access to Originals - ILL

low	No ILL of gov docs permitted
	Gov docs circulate to libraries within system or network
high	Unrestricted ILL circulation

Access to Reproductions - on-site

low	Repository makes surrogates or copies of gov docs available on-site only
high	Available on-site and by ILL

Access to Reproductions - digital

low	Repository provides digital surrogates or copies on demand as a fee-based service
	Repository provides digital surrogates or copies on the Web delivery on a subscription basis
high	Repository provides unrestricted Web access to gov docs

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Draft Assurance and Decision Framework-- Part 3

ASSURANCES

Assurance level	Factors	Additional Values Low value >>> High value		References
	Strategic Considerations -- System			
	<i>Redundancy of Holdings -- The extent to which the gov docs are duplicated to abate risk</i>			
low	No redundancy: single complete archive of govt docs			
	Some redundancy: complete sets maintained at various locations	Complete sets at two locations	Complete sets at three locations	Complete sets at [...] locations
high	High redundancy: multiple complete sets maintained at multiple locations	Two sets at two locations	Two sets at three locations	[. . .] sets at [. . .] locations
	<i>Geographical Distribution of Repositories -- The degree to which the govt docs are dispersed to abate risk</i>			
low	Repositories are localized or all within close proximity			
high	Repositories are widely distributed nationally Repositories are widely distributed nationally and dispersed within their respective regions			
	<i>Demographic Distribution of Repositories-- The extent to which the repositories serve the user populations</i>			
	Assurance is a function of the ratio of the number of repositories to the potential user population.			
	<i>Escrow -- Funds held in reserve to manage repository failures</i>			

low	Default costs are not budgeted Default costs are covered by federal guaranteed funds			
high	Default costs covered by federal funds in trust or escrow	Funds adequate to sustain single major repository for one year	Funds adequate to dismantle, transport, archive single major repository	Funds adequate to dismantle, transport, and reconstitute single major repository

Repository Governance and Funding

Governance and Funding of Repository

low	Private institution / university / consortium State/municipal government
high	Federal government

Governance and Funding of Parent Institution -- The nature of the entity with budgetary and governing authority over repository parent institution

low	Private institution (individual library/university) Private non-profit corporation (consortium) Municipality or municipal agency
high	State or state agency

Accountability -- The level within the parent institution at which the repository activity is recognized

low Gov docs responsibility is assigned to individuals or units within one or more departments.

Gov docs repository is separate library department with direct reporting to deputy director or AUL.

high Gov docs repository is separate library or library department with direct reporting to library director

Funding -- The degree to which funding of the repository activity is formalized by the parent institution

low Support of gov docs integrated with other service function allocations in parent institution's budget
Support of gov docs is a line item in institution-wide budget

high Support of gov docs is separate appropriation to repository from governing authority

Repository Charter

Instrument -- The means by which repository obligations are established and formalized

low Non-statutory repository obligations are secured by memorandum and/or written policies
Non-statutory repository obligations are secured by contract

high All repository obligations covered by statute, augmented by SuDoc regulations

Signatory -- The party representing the repository in execution of agreement of obligations

low Representative of the repository library
Parent organization of the repository library

high State or municipal government with jurisdiction over parent organization of repository library

Duration of agreement in years -- The number of years for which agreement of obligations is binding

low One to five years
Ten years

high 25 years

Effect of Termination -- Consequences of default or premature termination for repository library

low No penalty

Loss of holdings

high Loss of holdings + monetary liability

Choice of Law -- Legal jurisdiction under which agreement is arbitrated or litigated

low Undetermined

State in which repository institution resides

high District of Columbia

Public Disclosure -- How the identities, locations, policies and terms of service of the repository libraries are made known to the public

low Available on request

Published

high Published and available on Web

Future Modifications -- Under what circumstances changes in a repository's obligations can occur

low Repository may modify with notification

Repository may modify with GPO consent

high Modification by GPO directive only

Auditing and Certification

Certification of Facility -- Means by which conditions and services provided by repository are certified

low	Self-described / self auditing and certification	Assurance level is a function of the frequency of the certification process	Federal Depository Library Manual, Supplement 3. Self-Study of a Federal Depository Library; and charter document
	Parent auditing and certification with established guidelines	Assurance level is a function of the frequency of the certification process	Federal Depository Library Manual, Supplement 2: Guidelines for the FDLP; FDLP Instructions to Depository Libraries; and charter document
high	Site visit + documentation by third party	Assurance level is a function of the frequency of the certification process	Federal Depository Library Manual, Supplement 2: Guidelines for the FDLP; and charter document

Frequency and timing of Site Visits by GPO / auditors

low	Visit at initial charter
	Periodic scheduled visits after charter visit
high	Annual visits on unscheduled basis

Performance Audits -- How frequently and regularly repository conditions and services are audited

low	Infrequent
	Regular
high	Annual or staggered

Storage Commitment of Repository

Original Form

low	Material is maintained and available in some tangible format.
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Material is maintained and available in original (first-generation print or microform) format, not reprinted.

high Material is available in original (print) format, and may be backed up in another accepted preservation format.

Security

low Material is maintained in open stacks with general access to all users.

Material is maintained in closed stacks with access monitored and controlled.

high Material is maintained in a closed stack environment with retrieval of specifically requested items.

Disaster Preparedness

low Institution has no formal disaster plan in place.

Institution has a written disaster plan that is reviewed on a regular basis for currency and completeness and makes this information available to repository library staff, administration and Board

high Institution has a written disaster plan that is reviewed on a regular basis for currency and completeness and makes this information available to the GPO or its formally designated agents.

Control*Ownership of tangible content*

low	Material ownership is not formally established Most materials, i.e., government-supplied materials, are owned by the GPO
high	All materials are owned by the GPO

Control of storage and service facility

low	Facility occupies space leased by repository or parent institution from third party	Assurance is a function of the duration of the tenancy agreement
high	Facility is owned by private / city / state library Facility is owned by US government or the GPO	