Incentives Document

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Progress Report 2: The Carrot Crop is Still Growing

BACKGROUND

To encourage depositories to remain in the Federal Depository Library Program, the Depository Library Council, at its Fall 2003 meeting, and other FDLP entities identified a number of services/added benefits that GPO could provide. Some of these were viewed as short-term (less than two years) implementation projects. It was recognized that others would require more time or need further study. With the addition of these services, the depositories will get a better return on their investment, their partnership with GPO will be strengthened, and the public will receive enhanced access and better services.

GPO's first progress report on these projects was presented at the Fall 2004 Federal Depository Library Conference, and it is available on the FDLP Desktop at:
http://www.access.gpo.gov/su_docs/fdlp/pubs/proceedings/incentives_progress_oct2004.pdf

Last fall, a form was placed on the FDLP Desktop that allows suggestions for additional incentives to be submitted. To date GPO has not received any submissions. The form is at:
http://www.access.gpo.gov/su_docs/fdlp/staywiththeprogram.html#1.

INCENTIVES THAT COULD BE IMPLEMENTED WITHIN TWO YEARS

I. PROCEDURAL

Provide depository libraries with access to fee-based government information database services and other government information products so-called cooperative publications which must necessarily be sold in order to be self-sustaining under 44 U.S.C. §1903. **[In Progress]**

GPO continues to seek depository library access to fee-based government information databases. Depository libraries are encouraged to notify GPO if they discover any new fee-based databases that would be appropriate for GPO to negotiate access to on behalf of the FDLP.

Additionally, GPO is working to increase online access to frequently used publications that are self-sustaining under 44 U.S.C. §1903. In cooperation with the Cataloging Distribution Service (CDS) of the Library of Congress, GPO is investigating options for providing electronic versions of the Library of Congress Subject Headings and the Cataloging Service Bulletin to Federal depository libraries at no costs. Both of these titles are currently available only through the CDS sales program.

Clarify and simplify the "Instructions to Depository Libraries" [In Progress]

GPO is working with teams of volunteers from the Federal depository library community to develop the next generation *Federal Depository Library Manual* and *Instructions to Depository Libraries*. The resulting new publication combines the Manual, its supplements, and the Instructions into a single online publication that will be updated as necessary. The electronic depository manual will be a living policy document containing best practices, tips, and hot links to additional information of interest to depository library personnel. Each chapter will include requirements and performance examples with an emphasis on the electronic FDLP.

Anticipated Timeline:

- September 1, 2005   Draft chapters submitted to GPO
- October 18, 2005   Presentation of changes at Fall Depository Library Conference
- November 30, 2005   Depository Library Council comments and suggestions incorporated into drafts
- January-February 2006   Draft chapters posted for public comment
- March 2006   Final editing and begin posting chapters as completed

The manual update Web site provides the proposed new content for chapters, timelines for the revision and other related information. When ready, the electronic manual will be available at: http://www.access.gpo.gov/su_docs/fdlp/pubs/e-manual.html.

Create a GPO Web page listing accessible databases [Done]

Since the FDLP Desktop was launched in July 2000, there has been a Web page that lists all the databases to which GPO has negotiated access for Federal depository libraries. Some of these services no longer require passwords. The page will be updated as GPO negotiates access to more databases. The URL for this page is: http://www.access.gpo.gov/su_docs/fdlp/coll-dev/pw-serv.html.

Notify depository libraries of new electronic titles added to the FDLP [Done]

New Electronic Titles (NET) has made depository librarians aware of electronic-only titles within the FDLP since 2000. GPO will post the report for July 2005 during the week of October 17. The files for the remaining months will be available soon after conference. The current service will be replaced by the functionality of Ex Libris' Aleph 500, the integrated library system (ILS) that GPO procured. Monthly reports of new electronic titles will be made available and archived.

In addition to the monthly reports, other features of the ILS will assist depository libraries with collection development. The selective dissemination of information (SDI) service will automatically send out a list of new titles, according to a search and profile defined by the depository coordinator. SDI queries will be run at predefined intervals and the results will be e-mailed to the depository coordinator. GPO will be implementing this service as part of Phase 2 of the ILS implementation. GPO is also exploring how Rich Site Summary (RSS) feeds might be used to notify depositories of new titles.

Provide a list of electronic titles on *GPO Access* [In Progress]

Another feature of the Aleph 500 is the ability to create subsets (Ex Libris calls them logical bases) of the bibliographic database searchable through the OPAC, such as periodicals and Internet publications. GPO is currently exploring the possibility of creating a subset of records for titles available via *GPO Access*.

Publish, in *Administrative Notes*, the 1995 memorandum on eliminating microfiche from future discards lists [Done]

The 1995 memorandum on eliminating microfiche from future discard lists was printed in the Nov.15/Dec. 15, 2004 issue of *Administrative Notes*. This URL for this issue is:
http://www.access.gpo.gov/su_docs/fdlp/pubs/adnotes/ad11_121504.pdf.

Add OCLC holding symbols for regional depositories [Done]

GPO now adds OCLC holdings symbols for 33 Regional depository libraries to the bibliographic records GPO contributes to OCLC WorldCat. Working with GPO, OCLC developed an automated daily batch loading process to set the holdings. Holdings are added only to those records where a 074 field is present, which indicates that the titles were distributed to depository libraries. From February through September 2005, GPO produced 7,114 records with holdings symbols, creating more than 225,970 new access points to specific Federal publications.

Provide branded recognition of GPO/FDLP electronic information [In Progress]

GPO is examining options for brand recognition of information found on *GPO Access* and other elements of the FDLP Electronic Collection in search engine results lists. Search engine users are beginning to recognize certain brands and names as authoritative sources. It will become particularly important for GPO as we begin to digitally authenticate documents on *GPO Access*. Branding will help users to recognize GPO as the official source of U.S. Government information.

II. FUNDING

Allow depository libraries to purchase the print edition of the Serial Set from GPO Sales at a discounted price [Under Consideration]

Once the contract for Publication Sales/Publishing Services has been awarded, GPO will consider the possibility of providing depository libraries with Serial Set and other sales publications at a discount.

Provide depository libraries with allowances, discounts, and free shipping for Print on Demand (POD) services

After evaluating the possibility of providing a POD allowance for depository libraries, GPO determined it was not an option at this time. However, GPO will reconsider this decision if there is continued support for a POD allowance in the depository library community.

III. TRAINING

The reorganization of the Superintendent of Documents organization in October 2005 allowed for the creation of a position that would coordinate education and outreach for the FDLP. This position is now in the Office of Collection Management and Preservation.

Provide small competitive grants for new documents librarians to attend DLC and other GPO sponsored meetings [Under Consideration]

GPO does not have grant-giving authority. GPO does have the ability to issue invitations to travel and will explore how this authority might be used (funding permitting) to support training efforts for new documents librarians. GPO currently provides support to members of Council to attend the Fall Depository Library Conference and Depository Council Meeting and the Spring Depository Library Council Meeting. In 2003 and 2004, GPO provided funding for the regional depositories to attend the fall conference.

Support training for small non-depository libraries

Once depository library consultants are placed in the field, members of the depository community have suggested that training sessions be extended to non-depository libraries. GPO will discuss this further with the Depository Library Council to determine how this is an incentive.

Provide training for new technology

Once funded, the depository library consultants in the field will provide training in technology-related skills for depository staff as the FDLP moves toward an increasingly electronic dissemination service.

INCENTIVE THAT COULD BE IMPLEMENTED WITHIN TWO YEARS THAT GPO NEEDS TO ADDRESS:

- GPO is in discussion with USGS and its new map distribution contractor to provide shipping list numbers on map tubes. **[Under Consideration]**

INCENTIVES THAT COULD BE IMPLEMENTED BEYOND TWO YEARS

I. PROCEDURAL

Update the *List of Classes* [Done]

Earlier this year, GPO announced a major cleanup of the *List of Classes*. GPO staff reviewed approximately 2,665 SuDoc stems that have not been distributed in at least five years to determine if they were still active, and 581 were determined to have ceased. Those classes have been inactivated. The cataloging records are currently being edited, and appropriate entries will appear in future issues of Administrative Notes Technical Supplement. Additionally, fugitive documents identified through this process have been requested from the originating agencies and will be distributed to depositories as they are received.

GPO also recognizes that many libraries do not routinely collect bookmarks and ephemeral material. To assist depositories in the acquisition of unnecessary resources, GPO created "Ephemera" classes and item numbers for all Cabinet-level agencies, as well as National Aeronautics and Space Administration, Environmental Protection Agency, Library of Congress, Consumer Product Safety Commission, Federal Trade Commission, National Endowment for the Arts, and National Endowment for the Humanities. Following the completion of the cleanup project in August 2005, production began on the April/October 2005 *List of Classes*. Tangible copies of the List of Classes will be distributed to depository libraries before the end of October, 2005. The PDF version may be reviewed at: http://www.access.gpo.gov/su_docs/fdlp/pubs/loc/index.html.

As a result of a number of initiatives relating to item numbers including the *List of Classes* cleanup, the annual update cycle was delayed. GPO will hold the 2005 Item Selection Update Cycle in December and January. More information regarding the update cycle will be provided via FDLP-L.

Revise the Item Selection Process [Done]

GPO has undertaken a review of the item number system used by libraries in the FDLP to select tangible and electronic titles. As the number of electronic publications disseminated continues to grow, GPO's initial planning statement on the National Bibliography raised questions about the continued utility of item numbers. In response to a request from the Depository Library Council, GPO conducted a review of the current item number system and examined possible alternatives.

As a result of this review, GPO released three briefing papers and solicited comments from the depository library community:

- "Depository Selection: History and Current Practice" is provided as background information for the other two papers. It provides an overview of the item number process in its current form.

- "Depository Selection Mechanisms: New Model for the Selection of Online Titles" proposes new mechanisms for the selection of online titles.

- "Depository Selection Mechanisms: New Model for the Selection of Tangible Publications" proposes new mechanisms to support a more flexible model for selection and distribution of tangible publications.

All three papers are available for review, along with links to related information, at:
http://www.access.gpo.gov/su_docs/fdlp/selection/index.html. The deadline for comments is Monday, October 31, 2005. All comments should be directed to Judy Russell at jrussell@gpo.gov.

Provide cataloging for pre-1976 publications [In Progress]

GPO established a working group to develop a retrospective conversion plan for pre-1976 publications. GPO has conducted market research for this project which will be contracted out. Conversion record samples from shelflist cards, Monthly Catalogs, and print and microfiche sample issues of the Monthly Catalog were produced and used to help determine the strategic directions for the project. A Statement of Work (SOW) is in draft form, and money is allocated in the fiscal year 2006 budget to begin this multi-year project.

Provide credits to libraries that provide pre-1976 cataloging to GPO [Under Consideration]

GPO is exploring what type of credits or incentives could be provided to libraries for providing acceptable cataloging records to GPO. This will have to be reviewed in light of the requirements in the cataloging services Statement of Work.

Coordinate a list of retrospective cataloging projects [In Progress]

GPO is developing a "Retrospective Conversion" Web page. The page will have a report of the questions and answers received relating to pre-1976 cataloging that were asked on the 2003 Biennial Survey of Depository Libraries. The same questions asked on the 2003 Survey will be posted as a Web form where depository libraries can continue to notify GPO of retrospective conversion projects. The report will be

updated as required. The Web page will be accessible by early spring from the National Bibliography News Web site at http://www.access.gpo.gov/su_docs/fdlp/cip/index.html.

Create a consultant program based in geographically dispersed areas

While the depository library consultant program was not funded for fiscal year 2006, GPO will seek funding to implement the program in fiscal year 2007. GPO will use the experience gained from the placement of a consultant in Michigan during 2005 to continue developing the requirements.

II. FUNDING

Fund library school students for projects and/or clearinghouse of library school practicum [Done]

During the summer of 2005, a library school student from the Catholic University of America was hired to work in the Office of Bibliographic Services, where she was trained in daily cataloging procedures and gained experience in using the national bibliographic standards for monographs. From August 2003 to June 2004, GPO also funded the use of library school students for the University of Arizona Electronic Depository Pilot Project. GPO will continue to look for more opportunities like this.

Provide cataloging records free to depository libraries [Done]

At present libraries can download GPO's cataloging records from the Federal Bulletin Board (FBB). With Phase 1 of the ILS implementation nearly complete, GPO is turning its attention to Phase 2 applications and services. Among the services with a high priority is bibliographic/authority record export and distribution to depository library partners and internal and external GPO customers. ID is enlisting PTFS, our contracted systems integrator, to assist with this task. Aleph is Z39.50 compliant; the Z39 gate is configured and ready for testing. GPO is also exploring other possibilities of record distribution. It is GPO's intention to provide a range of bibliographic products to depository libraries at no cost to include full level bibliographic records and labels for each publication in the shipment.

Provide grants for equipment [Done]

GPO does not have grant-giving authority. Other projects guided by legal agreements may provide opportunities for libraries to receive equipment. In 2004, GPO provided a dedicated computer workstation to the University of Arkansas, Pine Bluff as part of a partnership agreement to establish an Economic Development Program pilot project. The pilot, located in UAPB's Watson Library, seeks to create community awareness of existing Federal, state and county resources available for small business development in the local area. GPO is currently assessing the results of this project.

Provide allowance for travel to support training at selectives

At current funding levels, GPO does not have the funds to provide support for travel to training. GPO will revisit this when there is more available funding.

Produce a GPO PowerPoint for the Web and Develop web and video based training modules [Done]

GPO has developed GPO PowerPoint training based upon the presentations at spring conference 2005: Depository Library 101 (Depository Library Basics), Depository Library 201 (FDLP Myths and

Monsters), and Depository Library 301 (The Electronic Depository Manual). To access this training, visit the conference proceedings Web page at:
http://www.access.gpo.gov/su_docs/fdlp/pubs/proceedings/05spring/index.html.

GPO will update the three PowerPoint training presentations following fall conference 2005.

GPO will webcast one of the programs at fall conference 2005, the Plenary Session with the Public Printer of the United States. After this trial webcast, GPO will examine the possibilities of providing future webcasts based upon the availability of funds. While there are no funds for FY 2006, GPO is planning to request funds for FY 2007.

III. ARCHIVAL MATTERS

Digitize the Legacy Collection [In Progress]

GPO is continuing efforts to digitize the complete legacy collection of tangible U.S. Government publications. As part of this effort, GPO has posted *Priorities for Digitization of Legacy Collection,* a white paper on the priorities for digitization. The paper addresses GPO's planned approach to digitizing the tangible collections of historical documents in Federal depository libraries. Based in part on recommendations from depository libraries and others in the information community, the paper focuses on implementing the digitization process by initially digitizing legislative and regulatory material associated with *GPO Access*. More information about GPO's digitization projects can be found at:
http://www.gpoaccess.gov/legacy/index.html.

Public Government e-journals using LOCKSS [In Progress]

The GPO LOCKSS Pilot Project was launched in June 2005 to investigate whether LOCKSS may be used to manage, disseminate, and preserve access to web-based Federal Government e-journals that are within the scope of the FDLP and the International Exchange Service (IES). Since then GPO has made the current volume of three Government e-journals available to the nearly 20 libraries that are participating in the 12-month pilot. Additional information and news about the GPO LOCKSS Pilot Project is available at: http://www.access.gpo.gov/su_docs/fdlp/lockss/index.html.

Establish CD-ROM Data Migration Strategy [In Progress]

GPO is working to devise a data migration strategy to ensure that information on the CD-ROMs that have been distributed to depository libraries remains accessible. CD-ROMs from three agencies were selected to use as case studies: the Department of Education, the Department of Justice, and the United States Geological Survey.

Discs considered migration candidates will be tested, and results of the testing will be used to devise a migration strategy for other depository discs. GPO will soon release a list of the discs reviewed, indicating which are available online and which are considered migration candidates.

Perform more comprehensive Web Discovery and Harvesting to reduce the loss of born digital documents [In Progress]

GPO recognizes that as the transition to a primarily electronic FDLP continues there are concerns about preserving publications located on Federal agency web sites. As a result, GPO is taking steps to ensure depository libraries have permanent access to this material. GPO is continuing its efforts to discover and

retrieve publications from Federal agency web sites that fall within the scope of the FDLP and the National Bibliography Program. GPO is currently exploring a solution for the discovery, harvesting, and assessment of documents and publications from web sites utilizing web crawler and data mining technologies.

As a first step in learning about available methodologies and technologies, GPO will be working with the EPA web site through a pilot project for web discovery and harvesting performed by contractors. GPO intends to select two vendors to conduct the pilot concurrently so as to compare technologies, approaches, and results. The results from the pilot will be used to develop criteria for targeting in-scope materials on other agency web sites for inclusion in GPO's information dissemination programs.

In addition, GPO has drafted a white paper that presents a high-level view of GPO's current plans for Web Harvesting, including an overview of the current state, key definitions, and key issues. The document is currently under review internally within GPO and will be released for public comment when those reviews have been completed.

Ensure *GPO Access* service is guaranteed and secure [In Progress]

In early 2005, Akamai began implementing a Disaster Recovery (DR) solution for GPO static content and WAIS databases. The five most popular *GPO Access* applications (*Federal Register, Code of Federal Regulations, Congressional Record,* Congressional Bills, and Congressional Hearings) were developed as a proof of concept and delivered in June 2005. Once the workflow for automated content delivery to the DR storage location is completed, the DR service will be activated for these five applications.

The static content delivery for the DR site was activated for gpo.gov and bookstore.gpo.gov in September 2005. The CIO staff anticipates completing the integration of the remaining *GPO Access* applications into the DR search environment by the end of the calendar year.

INCENTIVES THAT COULD BE IMPLEMENTED BEYOND TWO YEARS THAT GPO NEEDS TO ADDRESS:

- Facilitate delivery of metadata labels (to include SuDoc number, etc.) to depository libraries in their shipments
- Provide smart barcodes to be added to publications to allow scanning for discard lists
- Develop a portal/template for electronic collections management