

Federal Document Repositories: Decision Framework by Tangible Repository Type

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This draft *Federal Document Repositories: Decision Framework by Tangible Repository Type* was prepared by the Center for Research Libraries* (CRL) for the U.S. Government Printing Office. The decision framework is intended for evaluating future proposals for shared repositories for tangible Federal government documents. It 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 accessible, light, and dark repositories most appropriate to ensure the persistent archiving and public availability of tangible Federal documents.

The system of repositories addressed by the decision framework will include accessible collections in Federal depository libraries, which will continue to make Federal documents available to the general public in conformance with the requirements of the Federal Depository Library Program, but also may include other accessible shared or consolidated collections serving multiple institutions. It is also likely to include multiple, geographically dispersed, "light" archives providing coordinated preservation and access services for designated categories of tangible documents, and one or more "dark" or secure archives, whose purpose will be to ensure survival of archival copy (copies) of the tangible documents.

As with the earlier document [Decision Framework for Federal Document Repositories](#) (April 12, 2004), this 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 factors are made to be assessed cumulatively. The assurance matrix does not provide or establish standards for archiving and tangible repository activities, but merely establishes the degree to which various levels and standards of activity are likely to promote the persistence and availability of the government documents. The decision framework is tailored to the nature, value and uses of documents to be maintained on both light and dark archives and in accessible collections of Federal depository libraries.

This document differs from the previous decision framework document in that it provides assurance levels and factors for repositories of varying purposes and degrees of accessibility. This also dictates the organization of the document:

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"Accessible" Tangible Repository: Decision Framework

Part 1: Facility

Assurance Level	Assurance Factors	Additional Values Low value >>> High value
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1.1 Storage Environment

1.1.1 Climate Control¹

low	"General user" or "office space" conditions: a steady temperature of 70° and 50% relative humidity (RH) are maintained at all times. (Preservation Index of ~42 years)	Cost is inversely proportionate to the level of temperature and RH maintained in repository storage (cost rises as the temperature and relative humidity levels achieved decrease); cost also rises in direct relation to the difference between the prevailing climate conditions in the region and the optimum temperature and RH levels.
med	"Staff use only" conditions: a steady temperature of 60° and 30% RH are maintained at all times. (PI of ~142 years)	
high	"Cold storage" conditions: a steady temperature of 32° and 5% RH are maintained at all times. (PI of 2634 years)	

1.1.2 Lighting and Ultra-Violet Radiation² -- 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). UV lighting is filtered (below 415 nm) and/or minimized.	The cost of meeting optimal conditions is more contingent upon the quality and adaptability of the original design of the storage facility to archiving functions than on direct expense items.
high	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).	

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1.1.3 Air Filtration--Particulate Matter³ -- The relative exposure of gov docs to air-borne contaminants in storage facility

low	"General use" or "office space" conditions: level of air filtration of particulate matter is 60-89% of contaminants.	60%	70%	75%	80%	85%	Cost is directly proportionate to the percentage of filtration of particulate matter achieved, the complexity of the filtration system, the size (in cubic feet) of the physical facility, and the average level of particulate matter present in the macro environment.
	"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%	

1.1.4 Air Filtration--Gaseous Contaminants⁴ -- The relative exposure of gov docs to gaseous contaminants in storage area

low	Gaseous contaminants are not filtered and/or are not measured						Cost is directly proportionate to the percentage of filtration of gaseous contaminants achieved, the size (in cubic feet) of the physical facility, and the average level of gaseous contaminants present in the macro environment.
	Gaseous contaminants are measured and partially filtered						
high	Gaseous contaminants are measured and highly filtered. Air filtration minimizes gaseous contaminants (e.g., sulfur dioxide, nitrogen dioxide, ozone) to no more than 10 parts/billion/ volume.						

1.2 Physical Plant

Geographical locale⁵

low	Facility is located in an inherently unstable area, i.e., on or within ten miles of a fault line / flood plain, or in a severe weather zone (e.g., subject to hurricanes, tornados).	Cost is sensitive to market factors affecting value of real estate, construction in facility locale.
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Facility is located in an inherently stable area, and is sited a minimum of five feet above and 100 feet from any 100 year flood plain areas, or is protected by an appropriate flood wall that conforms to local or regional building codes.

high Facility is located in an inherently stable locale and is reinforced and seismically sound.

1.2.1 Strategic locale⁶

low Facility is located within two miles of a strategically important potential military or terrorist target, such as a major power plant, dam, agency-level federal government building, reservoir, chemical or munitions manufactory, or military installation.

Assurance level is a function of distance from and the nature of the potential target.

Meeting optimal conditions is contingent upon strategic decisions regarding location of facility, which are not directly related to cost factors.

high Facility is located two miles or more from a strategically important potential military or terrorist target

1.2.2 Structure⁷

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

Cost is sensitive to market factors affecting value of real estate, construction costs in facility locale, capacity and level of sophistication of climate control system, and cost of adaptation of shelving system adopted.

Repository occupies a purpose-built, fire- and waterproof, secure storage structure designed in accordance with regional building codes to provide protection from building collapse or failure of essential equipment from earthquake hazards, tornados, hurricanes and other potential natural disasters

high Repository occupies a purpose-built, fire and waterproof, secure storage structure that meets all conditions specified in NARA structural requirements for new records storage facilities (NARA Regulations Subchapter B, Sections 1228.228 and 1228.230).

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1.2.3 Protection from Water Damage⁸

low	Storage space is not monitored for water leaks, damage.						Sophistication of water detection system, size (in cubic feet) and structural complexity of the physical facility; relative extent of human security monitoring.
	Storage space is monitored during facility open hours	40 hrs/wk	50 hrs/wk	60 hrs/wk	70 hrs/wk	80 hrs/wk	
high	An early warning system has been installed in storage space providing automatic water detection + 24/7 human monitoring						

1.2.4 Protection from Fire Damage⁹

low	Storage space is equipped with a professionally-designed fire-safety detection and suppression system that is designed to limit the maximum anticipated loss in any single fire event to a maximum of 300 cubic feet of records destroyed by fire.						Sophistication of fire suppression, alarm systems, size (in cubic feet) and structural complexity of the physical facility; relative extent of human monitoring.
	Storage space also has open hours human monitoring + automatic alarm system + suppression system	40 hrs/wk	50 hrs/wk	60 hrs/wk	70 hrs/wk	80 hrs/wk	
high	Storage space has 24/7 human monitoring + automatic alarm system + suppression system						

1.2.5 Security

low	No significant barriers to unsupervised access to collection storage areas						Cost is a function of the number of facility entrances, exits; the extent (in number of person hours per user) of human supervision, and the extent of electronic monitoring.
	Access to and egress from collections storage is under repository staff supervision only						
high	Access to and egress from collections storage is under repository staff supervision only and is constantly monitored by security/reception staff or by electronic monitoring (e.g., door alarms, motion detectors, etc.)						

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

low	Repository’s available storage space will accommodate five years or less of gov docs collection growth									Cost is a function of the local cost per holdings item of acceptable storage space and the number of years of reserve storage capacity required.
	Available storage space will accommodate up to ten years of gov docs collection growth									
high	Available storage space will accommodate more than ten years of gov docs collection growth									

1.2.7 Provisions for Growth

low	No expansion plan has been approved by repository funding authority.									Cost is a function of the local cost per holdings item of acceptable storage space and the number of years of reserve storage capacity projected.
	Growth plan beyond ten years has been assured by funding authority.	11 yrs	12 yrs	13 yrs	14yrs	15 yrs				
high	Funded expansion plan for over fifteen years of gov docs collection growth.	16 yrs							[. . .] yrs	

1.3 Configuration

1.3.1 Reference Space

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

Cost is a function of the amount and the local cost (per square foot) of dedicated reference staff work space.

1.3.2 Public Space¹⁰ – Accessibility of the repository facility to on-site users

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

This is a minimum legal requirement

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1.3.3 Public Space¹¹ -- Furnishings and Equipment

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

Cost and number of microform reader-printers and computer workstations, extent of film, electronic materials in the repository, and volume of use of the equipment

1.3.4 Processing Space

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

Cost is a function of the amount and the local cost (per square foot) of dedicated processing work space.

“Accessible” Tangible Repository Decision Framework Part 2: Services

Assurance level	Assurance Factors	Additional Values Low value >>> High value	Cost Factors
2.1 Physical Maintenance			
2.1.1 Repair and Restoration			
low	Repository staff is 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	Number of binder / conservator FTE's and local salary rates for same.
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	
2.1.2 Replacement Provisions¹²			
low	Materials are replaced on an ad hoc basis, as resources allow.		Rate of replacement of gov doc is driven by level of use, access; relative cost of items requiring replacement; number of FTEs engaged in replacement activities and local salary rates for same.

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	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 doc holdings
high	The repository has an established workflow and standing budget line for replacement of gov docs.	Assurance level is a function of the ratio of allotment for replacement/repair to number of gov doc holdings

2.2 Disclosure of Holdings

2.2.1 Cataloging / Metadata Production¹³

low	The repository makes available published GPO catalogs, guides, indexes only as guides to holdings		Cost is a function of the number and granularity of individual bibliographic and item records produced or derived.
	The repository creates and maintains title- and series-level bibliographic records for gov doc holdings		
high	The repository creates and maintains item-level holdings records for gov doc holdings		

2.2.2 Availability of Data/Metadata¹⁴

low	Catalog and holdings records are available in a local file, shelf list or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in local file.	Cost is a function of the number of total gov docs holdings represented by records, and the cost of loading and maintaining holdings in union database or utility.
	Complete catalog and holdings records are available in a union file or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in union file.	
high	Complete catalog and holdings records are available in a national utility and a local file or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in national utility.	

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

2.3.1 Validation Authority – The degree to which a repository's holdings and provision of services are independently verified.

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 the verifiable level of gov docs expertise of the responsible staff	Cost is a function of the frequency and sophistication of the validation process, the extent of the materials sampled, and the relative level of proficiency of the personnel engaged in the process.
	The holdings are validated by the repository itself using an approved self-assessment instrument.	Level of assurance is a function of the level of detail in specifications for self-evaluation, and the verifiable level of gov docs expertise of the responsible staff	
high	The holdings are validated by an independent third party.	Level of assurance is a function of the frequency of validation and extent of the sampling	

2.3.2 Validation/inventory¹⁵ – The level at which gov docs holdings of a repository are initially validated as present and complete, against “control data” such as guides, lists and bibliographic records.

low	Presence and integrity (i.e, completeness and sound physical condition) of all repository content are confirmed against GPO catalogs, guides, authoritative shelf lists at the series level.	Level of assurance is a function of the extent of the sampling within each series checked in the validation process.	Cost is a function of the total number of series, titles, and items sampled, and the relative level of proficiency of the personnel engaged in the validation process.
	Presence and integrity of all repository content confirmed against GPO catalogs, guides, authoritative shelf lists at the title level.	Level of assurance is a function of the extent of the sampling within each title checked in the validation process.	
high	Presence and integrity of all repository content are checked against GPO catalogs, guides, authoritative shelf lists at the item level	Level of assurance is a function of the extent of the sampling within each item (e.g., no. of frames per reel, pages per volume) checked in the validation process.	

2.3.3 Sampling Level – The extent of materials that are periodically queried or examined to validate the presence and integrity of a repository's validated gov docs holdings

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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 the total number of titles held and the degree and sophistication of targeting used in the sampling.	Cost is a function of the total number of series, titles, and volumes sampled, and the relative level of proficiency of the personnel engaged in the sampling. <i>Costs here can be reduced through application of strategic or targeted, rather than random, sampling methods.</i>
	Sampling involves checking for inclusion, physical integrity of individual volumes.	Level of assurance is a function of ratio of number of volumes sampled to the total number of volumes held and the degree of targeting used in the sampling.	
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 the total number of pages held and the degree of targeting used in the sampling.	

2.3.4 Inventory Regime – The frequency and timing of systematic checking of shelves to confirm proper filing order of gov docs

low	Materials are checked at circulation, or when item is requested. Materials are checked periodically, triggered by moving, re-shelving, weeding or other event.					Costs are sensitive to the number of materials inventoried, the frequency of inventory, and the relative level of proficiency of the personnel engaged in the inventory work.
high	Materials are checked frequently on a scheduled basis.	Less than every ten years	Less than every five years	Less than every three years	Biannually	Annually

2.4 Storage and Integration – The extent to which gov docs are maintained in a way that supports their preservation and control as a discrete body of materials.

2.4.1 Integration of Government Publication Collections

low	Gov docs are integrated with other library collections. Gov docs are maintained and controlled in a distinct filing scheme or class but are stored with other repository holdings.
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high Gov docs are maintained physically separate from other repository holdings.

2.4.2 Proximity to Users

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

Stored off-site but available next day through courier / delivery service

Costs are proportionate to the volume of collection use, the geographical distance of storage from point of use, and local salary rates for courier/transport staff.

high Stored on site and available on request in reading room

2.5 Maintenance and Physical Handling

2.5.1 Replacement Copies¹⁶

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

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

Costs increase with number of items requiring replacement and the rigor of requirements for replacement.

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

2.5.2 Physical Markings and Bibliographic Identifiers¹⁷

low Repository applies minimal markings required by GPO

Repository applies ownership markings to each item

Costs are proportionate to the number of items marked and sophistication of marking technologies implemented.

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high Repository applies RFID or tag and ownership markings to all items

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

2.6.1 Level of assistance provided to on-site users¹⁸

low

Gov docs service provided at general reference desk

Service desk devoted to government docs

Cost is a function of the number of on-site users served, the scale of user demands, and the local salary rates for public service personnel.

high

Service desk is in separate department devoted to gov docs.

2.6.2 Assistance Provided to Remote Users¹⁹

low

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

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

In general, cost is a function of degree to which service provided is individualized, level of demand, and the level of functionality of on-line resources.

high

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

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

2.7.1 Staff credentials

low	Staff have minimum on-the-job training for activities required by Federal repository Library Manual.		Cost is a function of number and degree of proficiency of FTEs and local salary rates for repository personnel.
	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		

2.7.2 Level of staffing

low	No dedicated government docs trained library staff		Cost is a function of number and degree of proficiency of FTEs and local salary rates for repository personnel.
	Less than one FTE dedicated government docs-trained librarian	Level of assurance is a function of the ratio of FTEs to number of patrons, docs	
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	

2.8 Accessibility - The degree to which the documents and their contents are made available by the repository.

2.8.1 Access to Originals (General)²⁰

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low	<p>There is no set timetable for processing and availability of material after receipt.</p> <p>Material is physically processed and available for public use within ten days of receipt.</p>	Cost factors are annual volume (in number of titles) of incoming receipts of the repository, degree of processing and cataloging received, and local salary rates for processing personnel.
high	<p>Material is processed, cataloged, and available for public use within ten days of receipt.</p>	
<p><i>2.8.2 Access to Originals (On-site)²¹</i></p>		
low	<p>By appointment or under restricted conditions, such as limited hours of service, number of items requested, etc.</p> <p>Facility is normally restricted to authenticated constituents, such as matriculating students, faculty, and members.</p>	Annual volume of patron use (in number of items used); number of different patrons served per year; local salary rates for reference personnel.
high	<p>No restrictions to reasonable access to repository facility or holdings.</p>	
<p><i>2.8.3 Access to Originals - local circulation</i></p>		
low	<p>Gov docs do not circulate.</p> <p>Gov docs circulate only to other libraries within parent institution.</p>	Annual volume of circulation (in number of items); number of different borrowers served per year; local salary rates for circulation personnel.
high	<p>Gov docs circulate to local patrons on demand without restrictions.</p>	
<p><i>2.8.4 Remote Access to Originals - ILL</i></p>		
low	<p>No ILL of gov docs permitted</p> <p>Gov docs circulate to libraries within system or network</p>	Annual volume of circulation (in number of items); number of different borrowers served per year; local salary rates for circulation personnel; distance and shipping costs for remote use.
high	<p>Unrestricted ILL circulation</p>	

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2.8.5 Access to Reproductions -- The extent to which a repository makes copies or tangible surrogates of its gov docs content available, in addition to provision of access to originals

low	Repository makes surrogates or copies of gov docs available on-site only.	Number of copies or surrogates produced (in pages/frames) per year; local salary rates for reformatting personnel.
high	Repository makes surrogates or copies of gov docs available on-site and by ILL or mail order.	

2.8.6 Access to Reproductions (Digital) – The extent to which a repository makes digital surrogates of its gov docs content available, in addition to provision of access to originals.

low	<p>Repository provides digital surrogates or copies on demand as a fee-based service</p> <p>Repository makes digital surrogates or copies available via the Web on a subscription basis</p>	<p>Level of assurance is a function of the level of functionality of the digital surrogates and access provided, and the degree of control maintained by the repository or the GPO over digital surrogates and critical functionality.</p>	<p>Cost is a function of the number of copies or surrogates produced (in pages/frames/files) annually; the level of functionality of the digital surrogates and access provided; local salary rates for reformatting personnel.</p>
high	Repository provides continual, unrestricted Web access to gov docs	<p>Level of assurance is a function of the level of functionality of the digital surrogates and access provided, and the degree to which continuing resources to support that access and functionality are guaranteed by the repository or GPO.</p>	

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“Accessible” Tangible Repository Decision Framework Part 3: Organization and Assurances

Assurance level	Assurance Factors	Additional Values Low value >>> High value	Cost Factors

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3.1 Strategic Considerations -- System

3.1.1 Redundancy and Distribution of Holdings -- *The extent to which the gov docs are duplicated in geographically dispersed locations in order to mitigate risk*

low	<p>No redundancy: there is a single comprehensive set of gov docs in one repository</p> <p>Minimal redundancy: a single “distributed” comprehensive set is held by a group of repositories</p>	<p>Assurance level is inversely proportionate to the number of repositories among which each set is distributed.</p>	<p>Cost is a function of the number of sets assembled and maintained; number of participating repository facilities; local salary rates for repository personnel.</p>
	<p>Some redundancy: complete sets are maintained at multiple locations</p>	<p>Complete sets at two locations</p> <p>Complete sets at three locations</p> <p>Complete sets at [...] locations</p>	
	<p>High redundancy: complete sets are maintained at multiple, strategically dispersed geographical locations</p>	<p>Assurance level is a function of the number of complete sets and the geographical distance between repositories</p>	
high	<p>“Fail-safe” redundancy: additional complete sets are also maintained in a dark archive</p>	<p>Assurance level is a function of the number of complete sets that are dark archived, and the terms of archiving.</p>	

3.1.2 Demographic Distribution of Repositories-- *The extent to which the repositories are situated in locales conducive to serving user populations*

<p>Assurance is a function of the ratio of the number of repositories to the size of the potential user population.</p>	<p>Costs are affected by the number of participating repository facilities; geographic distance between same.</p>
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3.1.3 Escrow for Default -- Funds held in reserve to accommodate repositories that are no longer viable for economic or other reasons

low	Default costs are not budgeted or held in escrow					Cost is a function of scale of repository holdings (in number of titles) and level of accommodation provided for.
	Default costs are covered by a federal guarantee of funds					
high	Default costs are 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	

3.2 Repository Governance, Transparency and Funding

3.2.1 Governance and Funding of Operating Organization -- The nature of the entity with budgetary and governing authority over repository

low	Repository is operated by an organization or federation of institutions that is not a legally constituted corporation and is not directly accountable to the federal government.	Level of assurance is a function of the specificity of the terms of obligation embodied in the governing agreement.	Minimal cost impact: initial cost level (legal cost) corresponds generally to the degree of specificity and comprehensiveness of the terms of obligation embodied in the governing agreement and legal status of the agreement.
	Repository is operated by an organization or institution that is legally constituted, such as a private consortium, library, or university, but is not directly accountable to the federal government.	Level of assurance is a function of the specificity of the terms of obligation and legal status of the governing agreement.	
	Repository is operated by a state or municipal government	Level of assurance is a function of the specificity of the terms of obligation as embodied in the governing statutes.	

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high Repository is operated by the federal government

3.2.2 Policy Infrastructure -- The degree to which the repository’s mission-critical policies are formalized and disclosed

low Repository policies and responsibilities of critical staff are not consistently written and formalized.

Cost is a function of the number and variety of mission-critical activities undertaken by the repository.

Repository policies and responsibilities of critical staff are consistently written and formalized.

high Repository policies and responsibilities of critical staff are consistently written and formalized, reviewed on a regular basis at the executive or board level; all mission-critical policies are published.

3.2.3 Funding -- The degree to which funding of the repository activity is prioritized by the operating organization or parent institution

low Support of gov docs repository is integrated with other service function allocations in the operating institution’s budget

Minimal cost impact: cost generally corresponds to the degree to which repository allocation is segregated and separately managed.

Support of gov docs repository is a line item in institution-wide budget

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

3.3 Repository Charter

3.3.1 Instrument²² -- The means by which the repository’s obligations to the GPO are established and formalized

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low	Non-statutory repository obligations are secured by memorandum and/or written policies Non-statutory repository obligations are secured by contract	Minimal cost impact: initial cost level (legal cost) corresponds generally to the degree of specificity and comprehensiveness of the terms of obligation embodied in the governing agreement and legal status of the agreement
high	All repository obligations covered by statute, augmented by SuDoc regulations	
<i>3.3.2 Signatory -- The party representing the repository in execution of agreement of obligations</i>		
low	Representative of the repository library Parent organization of the repository library	Minimal cost impact
high	State or municipal government with jurisdiction over parent organization of repository library	
<i>3.3.3 Duration of agreement in years -- The duration of the effective period of the agreement embodying repository's obligations</i>		
low	Repository obligations are in effect for one to five years Repository obligations are in effect for six to ten years	Cost is a function of duration of obligation in years.
high	Repository obligations are in effect for eleven to 25 years	
<i>3.3.4 Effect of Termination -- Consequences for participating institution or organization of default, premature termination or withdrawal of holdings</i>		
low	No penalty Loss of holdings	Cost is contingent upon ability of participating institution or organization to fulfill obligations.
high	Loss of holdings + monetary liability	

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3.3.5 Choice of Law -- Legal jurisdiction under which matters relating to the agreement are arbitrated or adjudicated

low	Undetermined State in which repository institution resides	Minimal cost impact: cost is affected by the geographical distance of the participating institution or organization from chosen jurisdiction.
high	District of Columbia	

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

low	Documentation on services and obligations of the repository is available on request	Minimal cost impact: level of publication and disclosure of obligations and level of functionality of presentation of same involves some maintenance costs.
	Documentation on services and obligations of the repository is published	
high	Documentation on services and obligations of the repository is published, available on Web, and archived in a persistent format.	

3.3.7 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	Minimal cost impact: degree of formalization of permission process will have small direct impact.
high	Modification by GPO directive only	

3.3.8 Indemnification – The extent to which repository holdings are indemnified against wholesale loss or destruction by a credible underwriter other than the government.

low	Repository holdings are not indemnified	Cost level will correspond directly to scale and value of holdings covered, and degree of indemnification provided.
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	Repository holdings are indemnified by a credible underwriter to an arbitrary and limited replacement cost	
high	Repository holdings are indemnified by a credible underwriter to meet the full actual costs of replacement	Level of assurance is a function of the percentage of the collection that is specifically covered by indemnification plan.

3.4 Ownership and Control

3.4.1 Ownership of Tangible Content

low	Ownership or title in the gov docs held by repository is not formally established or is held separately by one or more participating institutions	Assurance level is inversely proportionate to the number of institutions holding ownership of the materials	Non-monetary indirect costs accrue to the contributing organizations and institutions to the extent to which they relinquish ownership of repository content.
	Some or all gov docs held by the repository are legally owned by non-governmental institution operating the repository.	Assurance level is inversely proportionate to the percentage of documents owned by to the institution operating the repository	
high	All materials docs held by the repository are owned by the federal government		

3.4.2 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	No direct cost impact
	Facility is owned by private / city / state library		
high	Facility is owned by the federal government or the GPO		

3.4.3 Control of Staff

Section 1: “Accessible” Tangible Repository: Decision Framework

low	Repository duties assigned to staff of parent institution as collateral duties	Assurance is a function of the degree to which the repository staff is dedicated to that function	Costs increase in relation to the degree to which the staff is employed solely for the repository.
	Repository duties assigned to specific staff provided by the parent institution or its contractor		
high	Repository duties assigned to staff employed by the Federal government, GPO, or its contractor		

3.5 Auditing and Certification

3.5.1 Certification of Facility²³ -- Means by which conditions and services provided by repository are certified

low	Facility is self-described or self-audited and certified	Assurance level is a function of the frequency of the certification process and the level of staff performing the auditing.	Cost corresponds directly to the size and number of services provided by the repository; proficiency level of staff performing certification and corresponding local and federal salary rates; frequency of auditing and certification process.
	Parent auditing and certification with an established self-assessment instrument	Assurance level is a function of the frequency of the certification process and the level of staff performing the auditing.	
High	Site visit + documentation by third party	Assurance level is a function of the frequency of the certification process	

3.5.2 Certification Frequency and Timing -- How often and on what schedule site visits are made by GPO / others to audit repository conditions and services

low	Auditors visit at the time of the repository's initial charter.		Cost corresponds to number and frequency of site visits.
	Periodic scheduled visits occur after charter visit.		
High	Annual visits are made on an unscheduled basis.		

3.6 Storage Commitment of Repository -- *Degree to which the physical characteristics present in the original form of the materials are preserved*

3.6.1 Original Form

low	Material is maintained and available in some tangible format (may be a reprint or copy). Material is maintained and available in original (first-generation print or microform) format, not reprinted.	Cost will be a function of the degree to which holdings must be maintained and preserved in their original formats.
high	Material is available in original (print) format, and may be backed up in another accepted preservation format.	

3.6.2 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.	Costs will be a function of degree to which stacks are open to use; number of annual patron uses of holdings; scale of holdings (in number of items).
high	Material is maintained in a closed stack environment with on-demand retrieval of specifically requested items.	

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3.6.3 *Emergency Preparedness*²⁴

low

Institution has no written, formal emergency preparedness and recovery plan in place.

Minimal cost impact: Initial costs are a function of the degree of complexity and specificity of the emergency preparedness plan.

Institution has conducted a risk assessment on storage facility for hazards from water, fire, chemical, and natural disasters.

Institution has a written emergency preparedness and recovery plan, based on risk assessment, which is reviewed on a regular basis for currency and completeness and makes this information available to repository library staff, administration and Board

Institution has a written emergency preparedness plan, which is reviewed on a regular basis for currency and completeness, and makes this information available to the GPO or its formally designated agents.

high

Institution has a written emergency preparedness plan, in which gov docs are prioritized for salvage / recovery. The plan is reviewed on a regular basis for currency and completeness, and makes this information available to the GPO or its formally designated agents

Section 1: “Accessible” Tangible Repository: Decision Framework

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- ⁸ NARA, “*Facility Standards for Records Storage Facilities*” http://www.archives.gov/about_us/regulations/part_1228_k.html#fac
- ⁹ *Ibid.*
- ¹⁰ *Americans with Disabilities Act of 1990* (42 U.S.C. 12181), Order No. 1513 - 91, 56 *FR* 35592, July 26, 1991, Part 36.
- ¹¹ Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, Chapter 7, section A. http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html
- ¹² Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html
- ¹³ *U.S. Code*, Title 44 -- Public Printing and Documents, Chapter 19 -- Depository Library Program, and *Anglo American Cataloging Rules*, Second edition, 1988 revision.
- ¹⁴ Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html
- ¹⁵ Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html
- ¹⁶ *Ibid.*
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- ²² United States. *Uniform Commercial Code.*, and *U.S. Code*, Title 44 -- Public Printing And Documents, Chapter 19 -- Depository Library Program.
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CENTER FOR RESEARCH LIBRARIES

**"Light" Tangible Repository: Decision Framework
Part 1: Facility**

Assurance Level	Assurance Factors	Additional Values Low value >>> High value	Cost Factors
1.1 Storage Environment			
<i>1.1.1 Climate Control¹</i>			
low	"General user" or "office space" conditions: a steady temperature of 70° and 50% relative humidity (RH) are maintained at all times. (Preservation Index of ~42 years)		Cost is inversely proportionate to the level of temperature and RH maintained in repository storage (cost rises as the temperature and relative humidity levels achieved decrease); cost also rises in direct relation to the difference between the prevailing climate conditions in the region and the optimum temperature and RH levels.
med	"Staff use only" conditions: a steady temperature of 60° and 30% RH are maintained at all times. (PI of ~142 years)		
high	"Cold storage" conditions: a steady temperature of 32° and 5% RH are maintained at all times. (PI of 2634 years)		
<i>1.1.2 Lighting and Ultra-Violet Radiation² -- The extent and intensity of light exposure in gov docs storage area</i>			
low	Material is periodically or continuously exposed to ultra-violet lighting conditions (below 450 nm). UV lighting is filtered (below 415 nm) and/or minimized.		The cost of meeting optimal conditions is more contingent upon the quality and adaptability of the original design of the storage facility to archiving functions than on direct expense items.
high	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).		

Section 2: "Light" Tangible Repository: Decision Framework

1.1.3 Air Filtration--Particulate Matter³ -- The relative exposure of gov docs to air-borne contaminants in storage facility

low	"General use" or "office space" conditions: level of air filtration of particulate matter is 60-89% of contaminants.	60%	70%	75%	80%	85%	Cost is directly proportionate to the percentage of filtration of particulate matter achieved, the complexity of the filtration system, the size (in cubic feet) of the physical facility, and the average level of particulate matter present in the macro environment.
	"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%	

1.1.4 Air Filtration--Gaseous Contaminants⁴ -- The relative exposure of gov docs to gaseous contaminants in storage area

low	Gaseous contaminants are not filtered and/or are not measured						Cost is directly proportionate to the percentage of filtration of gaseous contaminants achieved, the size (in cubic feet) of the physical facility, and the average level of gaseous contaminants present in the macro environment.
	Gaseous contaminants are measured and partially filtered						
high	Gaseous contaminants are measured and highly filtered. Air filtration minimizes gaseous contaminants (e.g., sulfur dioxide, nitrogen dioxide, ozone) to no more than 10 parts/billion/ volume.						

1.2 Physical Plant

Geographical locale⁵

low	Facility is located in an inherently unstable area, i.e., on or within ten miles of a fault line / flood plain, or in a severe weather zone (e.g., subject to hurricanes, tornados).						Cost is sensitive to market factors affecting value of real estate, construction in facility locale.
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Section 2: “Light” Tangible Repository: Decision Framework

Facility is located in an inherently stable area, and is sited a minimum of five feet above and 100 feet from any 100 year flood plain areas, or is protected by an appropriate flood wall that conforms to local or regional building codes.

high Facility is located in an inherently stable locale and is reinforced and seismically sound.

1.2.1 Strategic locale⁶

low Facility is located within two miles of a strategically important potential military or terrorist target, such as a major power plant, dam, agency-level federal government building, reservoir, chemical or munitions manufactory, or military installation.

Meeting optimal conditions is contingent upon strategic decisions regarding location of facility, which are not directly related to cost factors.

high Facility is located two miles or more from a strategically important potential military or terrorist target

1.2.2 Structure⁷

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

Cost is sensitive to market factors affecting value of real estate, construction costs in facility locale, capacity and level of sophistication of climate control system, and cost of adaptation of shelving system adopted.

Repository occupies a purpose-built, fire- and waterproof, secure storage structure designed in accordance with regional building codes to provide protection from building collapse or failure of essential equipment from earthquake hazards, tornados, hurricanes and other potential natural disasters

high Repository occupies a purpose-built, fire and waterproof, secure storage structure that meets all conditions specified in NARA structural requirements for new records storage facilities (NARA Regulations Subchapter B, Sections 1228.228 and 1228.230).

Section 2: "Light" Tangible Repository: Decision Framework

1.2.3 Protection from Water Damage⁸

low	Storage space is not monitored for water leaks, damage.						Sophistication of water detection system, size (in cubic feet) and structural complexity of the physical facility; relative extent of human security monitoring.
	Storage space is monitored during facility open hours	40 hrs/wk	50 hrs/wk	60 hrs/wk	70 hrs/wk	80 hrs/wk	
high	An early warning system has been installed in storage space providing automatic water detection + 24/7 human monitoring						

1.2.4 Protection from Fire Damage⁹

low	Storage space is equipped with a professionally-designed fire-safety detection and suppression system that is designed to limit the maximum anticipated loss in any single fire event to a maximum of 300 cubic feet of records destroyed by fire.						Sophistication of fire suppression, alarm systems, size (in cubic feet) and structural complexity of the physical facility; relative extent of human monitoring.
	Storage space also has open hours human monitoring + automatic alarm system + suppression system	40 hrs/wk	50 hrs/wk	60 hrs/wk	70 hrs/wk	80 hrs/wk	
high	Storage space has 24/7 human monitoring + automatic alarm system + suppression system						

1.2.5 Security

low	No significant barriers to unsupervised access to collection storage areas						Cost is a function of the number of facility entrances, exits; the extent (in number of person hours per user) of human supervision, and the extent of electronic monitoring.
	Access to and egress from collections storage is under repository staff supervision only						
high	Access to and egress from collections storage is under repository staff supervision only and is constantly monitored by security/reception staff or by electronic monitoring (e.g., door alarms, motion detectors, etc.)						

Section 2: "Light" Tangible Repository: Decision Framework

**"Light" Tangible Repository Decision Framework
Part 2: Services**

Assurance level	Assurance Factors	Additional Values Low value >>> High value	Cost Factors
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2.1 Physical Maintenance

2.1.1 Repair and Restoration

low	Repository staff is 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	Number of binder / conservator FTE's and local salary rates for same.
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	

2.1.2 Replacement Provisions¹⁰

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 doc holdings	Rate of replacement of gov doc is driven by level of use, access; relative cost of items requiring replacement; number of FTEs engaged in replacement activities and local salary rates for same.
high	The repository has an established workflow and standing budget line for replacement of gov docs.	Assurance level is a function of the ratio of allotment for replacement/repair to number of gov doc holdings	

2.2 Disclosure of Holdings

Section 2: “Light” Tangible Repository: Decision Framework

2.2.1 Cataloging / Metadata Production¹¹

low	The repository makes available published GPO catalogs, guides, indexes only as guides to holdings		Cost is a function of the number and granularity of individual bibliographic and item records produced or derived.
	The repository creates and maintains title- and series-level bibliographic records for gov doc holdings		
high	The repository creates and maintains item-level holdings records for gov doc holdings		

2.2.2 Availability of Data/Metadata¹²

low	Catalog and holdings records are available in a local file, shelf list or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in local file.	Cost is a function of the number of total gov docs holdings represented by records, and the cost of loading and maintaining holdings in union database or utility.
	Complete catalog and holdings records are available in a union file or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in union file.	
high	Complete catalog and holdings records are available in a national utility and a local file or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in national utility.	

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

2.3.1 Validation Authority – The degree to which a repository's holdings and provision of services are independently verified.

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 the verifiable level of gov docs expertise of the responsible staff	Cost is a function of the frequency and sophistication of the validation process, the extent of the materials sampled, and the relative level of proficiency of the personnel engaged in the process.
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Section 2: “Light” Tangible Repository: Decision Framework

	The holdings are validated by the repository itself using an approved self-assessment instrument.	Level of assurance is a function of the level of detail in specifications for self-evaluation, and the verifiable level of gov docs expertise of the responsible staff
high	The holdings are validated by an independent third party.	Level of assurance is a function of the frequency of validation and extent of the sampling

2.3.2 Validation/inventory¹³ – The level at which gov docs holdings of a repository are initially validated as present and complete, against “control data” such as guides, lists and bibliographic records.

low	Presence and integrity (i.e, completeness and sound physical condition) of all repository content are confirmed against GPO catalogs, guides, authoritative shelf lists at the series level.	Presence and integrity (i.e, completeness and sound physical condition) of all repository content are confirmed against GPO catalogs, guides, authoritative shelf lists at the series level.
	Presence and integrity of all repository content confirmed against GPO catalogs, guides, authoritative shelf lists at the title level.	Presence and integrity of all repository content confirmed against GPO catalogs, guides, authoritative shelf lists at the title level.
high	Presence and integrity of all repository content are checked against GPO catalogs, guides, authoritative shelf lists at the item level	Presence and integrity of all repository content are checked against GPO catalogs, guides, authoritative shelf lists at the item level

2.3.3 Sampling Level – The extent of materials that are periodically queried or examined to validate the presence and integrity of a repository’s validated gov docs holdings

low	Sampling involves checking for inclusion, physical integrity of all individual titles or series.
	Sampling involves checking for inclusion, physical integrity of all individual volumes.
high	Sampling involves checking for inclusion, physical integrity of all individual pages.

Section 2: "Light" Tangible Repository: Decision Framework

2.3.4 Inventory Regime – The frequency and timing of systematic checking of shelves to confirm proper filing order of gov docs

low	Materials are checked at circulation, or when copy of item is requested. Materials are checked periodically, triggered by moving, re-shelving, weeding or other event.						Costs are sensitive to the number of materials inventoried, the frequency of inventory, and the relative level of proficiency of the personnel engaged in the inventory work.
high	Materials are checked frequently on a scheduled basis.	Less than every ten years	Less than every five years	Less than every three years	Biannually	Annually	

2.4 Storage and Integration

2.4.1 Integration of Government Publication Collections-- – The extent to which gov docs are maintained in a way that supports their preservation and control as a discrete body of materials.

low	Gov docs are integrated with other library collections. Gov docs are maintained and controlled in a distinct filing scheme or class but are stored with other repository holdings.
high	Gov docs are maintained physically separate from other repository holdings.

2.5 Maintenance and Physical Handling

2.5.1 Replacement Copies¹⁴

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low	Repository policy requires replacement of damaged or lost gov docs with photocopy / microfilm	Costs increase with number of items requiring replacement and the rigor of requirements for replacement.
	Repository policy requires replacement of damaged or lost gov docs with recent edition	
high	Repository policy requires replacement of damaged or lost gov docs with original edition	

2.5.2 Physical Markings and Bibliographic Identifiers¹⁵

low	Repository applies minimal markings required by GPO Repository applies ownership markings to each item	Costs are proportionate to the number of items marked and sophistication of marking technologies implemented.
high	Repository applies RFID or tag and ownership markings to all items	

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

2.6.2 Assistance Provided to Remote Users¹⁶

low	Repository provides general information about gov docs holdings and services on request Repository provides information on Web about gov docs holdings and services.	In general, cost is a function of degree to which service provided is individualized, level of demand, and the level of functionality of on-line resources.
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Section 2: "Light" Tangible Repository: Decision Framework

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

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

2.7.1 Staff credentials

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

Cost is a function of number and degree of proficiency of FTEs and local salary rates for repository personnel.

Staff has 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

2.7.2 Level of staffing

low No dedicated government docs trained library staff

Cost is a function of number and degree of proficiency of FTEs and local salary rates for repository personnel.

Repository has less than one FTE dedicated government docs-trained librarian

Level of assurance is a function of the ratio of FTEs to number of patrons, docs

high Repository has 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

2.8 Accessibility - The degree to which the documents and their contents are made available by the repository.

2.8.1 Access to Originals (General)¹⁷

low	There is no set timetable for processing and availability of material after receipt. Material is physically processed and available for service within ten days of receipt.		Cost factors are annual volume (in number of titles) of incoming receipts of the repository, degree of processing and cataloging received, and local salary rates for processing personnel.
high	Material is processed, cataloged, and available for service within ten days of receipt.		

2.8.2 Access to Reproductions (Digital) – The extent to which a repository makes digital surrogates of its gov docs content available, in addition to provision of access to originals.

low	Repository provides digital surrogates or copies on demand as a fee-based service Repository makes digital surrogates or copies available via the Web on a subscription basis	Level of assurance is a function of the level of functionality of the digital surrogates and access provided, and the degree of control maintained by the repository or the GPO over digital surrogates and critical functionality.	Cost is a function of the number of copies or surrogates produced (in pages/frames/files) annually; the level of functionality of the digital surrogates and access provided; local salary rates for reformatting personnel.
high	Repository provides continual, unrestricted Web access to gov docs	Level of assurance is a function of the level of functionality of the digital surrogates and access provided, and the degree to which continuing resources to support that access and functionality are guaranteed by the repository or GPO.	

CENTER FOR RESEARCH LIBRARIES

**"Light" Tangible Repository Decision Framework
Part 3: Organization and Assurances**

Assurance level	Assurance Factors	Additional Values Low value >>> High value	Cost Factors
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3.1 Strategic Considerations -- System

3.1.1 Redundancy and Distribution of Holdings -- The extent to which the gov docs are duplicated in geographically dispersed locations in order to mitigate risk

low	<p>No redundancy: there is a single comprehensive set of gov docs in one repository</p> <p>Minimal redundancy: a single "distributed" comprehensive set is held by a group of repositories</p> <p>Some redundancy: complete sets are maintained at multiple locations</p> <p>High redundancy: complete sets are maintained at multiple, strategically dispersed geographical locations</p>	<p>Assurance level is inversely proportionate to the number of repositories among which each set is distributed.</p> <p>Complete sets at two locations Complete sets at three locations</p> <p>Assurance level is a function of the number of complete sets and the geographical distance between repositories</p>	<p>Cost is a function of the number of sets assembled and maintained; number of participating repository facilities; local salary rates for repository personnel.</p> <p>Complete sets at [...] locations</p>
high	<p>"Fail-safe" redundancy: additional complete sets are also maintained in a dark archive</p>	<p>Assurance level is a function of the number of complete sets that are dark archived, and the terms of archiving.</p>	

Section 2: "Light" Tangible Repository: Decision Framework

3.1.2 Demographic Distribution of Repositories-- The extent to which the repositories are situated in locales conducive to serving user populations

Assurance is a function of the ratio of the number of repositories to the size of the potential user population.

Costs are affected by the number of participating repository facilities; geographic distance between same

3.1.3 Escrow for Default -- Funds held in reserve to accommodate repositories that are no longer viable for economic or other reasons

low	Default costs are not budgeted or held in 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	Cost is a function of scale of repository holdings (in number of titles) and level of accommodation provided for.
	Default costs are covered by a federal guarantee of funds				
high	Default costs covered by federal funds in trust or escrow				

3.2 Repository Governance and Funding

3.2.1 Governance and Funding of Operating Organization -- The nature of the entity with budgetary and governing authority over repository

Repository is operated by an organization or federation of institutions that is not a legally constituted corporation and is not directly accountable to the federal government.

Level of assurance is a function of the specificity of the terms of obligation embodied in the governing agreement.

Minimal cost impact: initial cost level (legal cost) corresponds generally to the degree of specificity and comprehensiveness of the terms of obligation embodied in the governing agreement and legal status of the agreement.

Repository is operated by an organization or institution that is legally constituted, such as a private consortium, library, or university, but is not directly accountable to the federal government.

Level of assurance is a function of the specificity of the terms of obligation and legal status of the governing agreement

Repository is operated by a state or municipal government

Level of assurance is a function of the specificity of the terms of obligation as embodied in the governing statutes.

high Repository is operated by the federal government

Section 2: "Light" Tangible Repository: Decision Framework

3.2.2 Accountability -- The level at which the repository activity is recognized within the operating organization or parent institution

- 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/consortium director

3.2.3 Policy Infrastructure – The degree to which the repository’s mission-critical policies are formalized and disclosed

- low Repository policies and responsibilities of critical staff are not consistently written and formalized. Cost is a function of the number and variety of mission-critical activities undertaken by the repository.
- Repository policies and responsibilities of critical staff are consistently written and formalized.
- high Repository policies and the responsibilities of critical staff are consistently written and formalized, reviewed on a regular basis at the executive or board level; all policies governing core activities are published.

3.2.4 Funding -- The degree to which funding of the repository activity is prioritized by the operating organization or parent institution

- low Support of gov docs repository is integrated with other service function allocations in the operating institution's budget Minimal cost impact: cost generally corresponds to the degree to which repository allocation is segregated and separately managed.
- Support of gov docs repository is a line item in institution-wide budget
- high Support of gov docs is a separate appropriation to the repository from the governing authority

3.3 Repository Charter

3.3.1 Instrument¹⁸ -- The means by which the repository's obligations to the GPO are established and formalized

low	<p>Non-statutory repository obligations are secured by memorandum and/or written policies</p> <p>Non-statutory repository obligations are secured by contract</p>	Minimal cost impact: initial cost level (legal cost) corresponds generally to the degree of specificity and comprehensiveness of the terms of obligation embodied in the governing agreement and legal status of the agreement
high	All repository obligations covered by statute, and are augmented by SuDoc regulations	

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

low	<p>Representative of the repository library</p> <p>Parent organization of the repository library</p>	Minimal cost impact
high	State or municipal government with jurisdiction over parent organization of repository library	

3.3.3 Duration of agreement in years -- The duration of the effective period of the agreement embodying repository's obligations

low	<p>Repository obligations are in effect for one to five years</p> <p>Repository obligations are in effect for six to ten years</p>	Cost is a function of duration of obligation in years.
high	Repository obligations are in effect for eleven to 25 years	

Section 2: "Light" Tangible Repository: Decision Framework

3.3.4 Effect of Termination -- Consequences for participating institution or organization of default, premature termination or withdrawal of holdings

low	No penalty Loss of holdings	Cost is contingent upon ability of participating institution or organization to fulfill obligations.
high	Loss of holdings + monetary liability	

3.3.5 Choice of Law -- Legal jurisdiction under which matters relating to the agreement are arbitrated or adjudicated

low	Undetermined State in which repository institution resides	Minimal cost impact: cost is affected by the geographical distance of the participating institution or organization from chosen jurisdiction.
high	District of Columbia	

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

low	Documentation on services and obligations of the repository is available on request	Minimal cost impact: level of publication and disclosure of obligations and level of functionality of presentation of same involves some maintenance costs.
	Documentation on services and obligations of the repository is published	
high	Documentation on services and obligations of the repository is published, available on Web, and archived in a persistent format.	

3.3.7 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	Minimal cost impact: degree of formalization of permission process will have small direct impact.
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Section 2: “Light” Tangible Repository: Decision Framework

high	Modification by GPO directive only		
3.3.8 Indemnification – The extent to which repository holdings are indemnified against wholesale loss or destruction by a credible underwriter other than the government.			
low	Repository holdings are not indemnified		Cost level will correspond directly to scale and value of holdings covered, and degree of indemnification provided.
	Repository holdings are indemnified by a credible underwriter to an arbitrary and limited replacement cost		
high	Repository holdings are indemnified by a credible underwriter to meet the full actual costs of replacement	Level of assurance is a function of the percentage of the collection that is specifically covered by indemnification plan.	

3.4 Ownership and Control

3.4.1 Ownership of Tangible Content

low	Ownership or title in the gov docs held by repository is not formally established or is held separately by one or more participating institutions	Assurance level is inversely proportionate to the number of institutions holding ownership of the materials	Non-monetary indirect costs accrue to the contributing organizations and institutions to the extent to which they relinquish ownership of repository content.
	Some or all gov docs held by the repository are legally owned by non-governmental institution operating the repository.	Assurance level is inversely proportionate to the percentage of documents owned by to the institution operating the repository	
high	All materials docs held by the repository are owned by the federal government		

Section 2: “Light” Tangible Repository: Decision Framework

3.4.2 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	No direct cost impact
	Facility is owned by private / city / state library		
high	Facility is owned by the federal government or the GPO		

3.5 Auditing and Certification

3.5.1 Certification of Facility¹⁹ -- Means by which conditions and services provided by repository are certified

low	Facility is self-described or self-audited and certified	Assurance level is a function of the frequency of the certification process and the level of staff performing the auditing.	Cost corresponds directly to the size and number of services provided by the repository; proficiency level of staff performing certification and corresponding local and federal salary rates; frequency of auditing and certification process.
	Parent auditing and certification with an established self-assessment instrument	Assurance level is a function of the frequency of the certification process and the level of staff performing the auditing.	
high	Site visit + documentation by third party	Assurance level is a function of the frequency of the certification process	

3.5.2 Certification Frequency and Timing -- How often and on what schedule site visits are made by GPO / others to audit repository conditions and services

low	Auditors visit at the time of the repository’s initial charter.	Cost corresponds to number and frequency of site visits.
	Periodic scheduled visits occur after charter visit.	
high	Annual visits are made on an unscheduled basis.	

3.6 Storage Commitment of Repository

3.6.1 Original Form -- Degree to which the physical characteristics present in the original form of the materials are preserved

low	Material is maintained and available in some tangible format (may be a reprint or copy).	Cost will be a function of the degree to which holdings must be maintained and preserved in their original formats.
high	Material is maintained and available in original (first-generation print or microform) format, not reprinted. Material is available in original (print) format, and may be backed up in another accepted preservation format.	

3.6.2 Security

low	Material is maintained in closed stacks with access monitored and controlled.	Cost will be a function of degree to which stacks are open to use; number of annual patron uses of holdings; scale of holdings (in number of items).
high	Material is maintained in a closed stack environment with on-demand retrieval of specifically requested items.	

3.6.3 Emergency Preparedness²⁰

low	Institution has no written, formal emergency preparedness and recovery plan in place. Institution has conducted a risk assessment on storage facility for hazards from water, fire, chemical, and natural disasters.	Minimal cost impact: Initial costs are a function of the degree of complexity and specificity of the emergency preparedness plan.
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Section 2: "Light" Tangible Repository: Decision Framework

Institution has a written emergency preparedness and recovery plan, based on risk assessment, which is reviewed on a regular basis for currency and completeness and makes this information available to repository library staff, administration and Board

Institution has a written emergency preparedness plan, which is reviewed on a regular basis for currency and completeness, and makes this information available to the GPO or its formally designated agents.

high

Institution has a written emergency preparedness plan, in which gov docs are prioritized for salvage / recovery. The plan is reviewed on a regular basis for currency and completeness, and this information is available to the GPO or its formally designated agents

Section 2: “Light” Tangible Repository: Decision Framework

References and Standards Cited

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- ⁵ Federal Emergency Management Administration, Mitigation Division, *Preparation and Prevention: Insurance and Mitigation Resources*. <http://www.fema.gov/library/prepandprev.shtm#earthquakes>.
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- ⁷ Nitecki, Danuta and Curtis L. Kendrick. *Library Off-site Shelving: A Guide for High-Density Storage*. Englewood, Colo: Libraries Unlimited, 2001. and National Archives and Records Administration. “*Facility Standards for Records Storage Facilities*” *Regulations, Subchapter B, Part 1228, Subpart K. Section 228*. http://www.archives.gov/about_us/regulations/part_1228_k.html#fac.
- ⁸ NARA, “*Facility Standards for Records Storage Facilities*” http://www.archives.gov/about_us/regulations/part_1228_k.html#fac
- ⁹ *Ibid.*
- ¹⁰ Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html.
- ¹¹ *U.S. Code*, Title 44 -- Public Printing and Documents, Chapter 19 -- Depository Library Program, and *Anglo American Cataloging Rules*, Second edition, 1988 revision.
- ¹² Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html.
- ¹³ Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html.
- ¹⁴ *Ibid.*
- ¹⁵ *Ibid.*
- ¹⁶ *Ibid.*
- ¹⁷ *U.S. Code*, Title 44 -- Public Printing And Documents, Chapter 19 -- Depository Library Program
- ¹⁸ United States. *Uniform Commercial Code.*, and *U.S. Code*, Title 44 -- Public Printing And Documents, Chapter 19 -- Depository Library Program.
- ¹⁹ *Federal Depository Library Manual*, Supplement 3. Self-Study of a Federal Depository Library; and repository charter document.
- ²⁰ Seibert, Ann I., *Emergency Preparedness for Library of Congress Collections*. Library of Congress, Washington, D.C., 1996 <http://www.loc.gov/preserv/pub/seibert/> and Lisa L. Fox, *Disaster Preparedness Workbook for U.S. Navy Libraries and Archives*. Northeast Document Conservation Center / U.S. Naval War College Library, 1998.

CENTER FOR RESEARCH LIBRARIES

**“Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework
Part 1: Facility**

Assurance Level	Assurance Factors	Additional Values Low value >>> High value	Cost Factors
1.1 Storage Environment			
<i>1.1.1 Climate Control (Paper-based materials) ¹</i>			
low	"General user" or "office space" conditions: a consistent temperature of 70° and 50% RH are maintained at all times. (Preservation Index of ~42 years)		Cost is inversely proportionate to the level of temperature and RH maintained in repository storage (cost rises as the temperature and relative humidity levels achieved decrease); cost also rises in direct relation to the difference between the prevailing climate conditions in the region and the optimum temperature and RH levels.
med	"Staff use only" conditions: a consistent temperature of 60° and 30% relative humidity (RH) are maintained at all times. (PI of ~142 years)		
high	"Cold storage" conditions: a consistent temperature of 32° and 5% RH are maintained at all times. (PI of 2634 years)		
<i>1.1.1a Climate Control (Film and optical media) ²</i>			
low	Repository fulfills the requirements established for non-textual temporary federal records by the National Archives and Records Administration.		Cost is inversely proportionate to the level of temperature and RH maintained in repository storage (cost rises as the temperature and relative humidity levels achieved decrease); cost also rises in direct relation to the difference between the prevailing climate conditions in the region and the optimum temperature and RH levels.
high	Repository fulfills the requirements established for non-textual permanent and unscheduled federal records by the National Archives and Records Administration.		

Section 3: "Collection of Last Resort" / Dark Archive Tangible Repository: Decision Framework

1.1.3 Air Filtration--Particulate Matter³ -- The relative exposure of gov docs to air-borne contaminants in storage facility

low	"General use" conditions: level of air filtration of particulate matter is 60-89% of contaminants.	60%	70%	75%	80%	85%	Cost is directly proportionate to the percentage of filtration of particulate matter achieved, the complexity of the filtration system, the size (in cubic feet) of the physical facility, and the average level of particulate matter present in the macro environment.
	"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%	

1.1.4 Air Filtration--Gaseous Contaminants⁴ -- The relative exposure of gov docs to gaseous contaminants in storage area

low	Gaseous contaminants are not filtered and/or are not measured	Cost is directly proportionate to the percentage of filtration of gaseous contaminants achieved, the size (in cubic feet) of the physical facility, and the average level of gaseous contaminants present in the macro environment.
	Gaseous contaminants are measured and partially filtered	
high	Gaseous contaminants are measured and highly filtered. Air filtration minimizes gaseous contaminants (e.g., sulfur dioxide, nitrogen dioxide, ozone) to no more than 10 parts/billion/ volume.	

1.2 Physical Plant

Geographical locale⁵

low	Facility is located in an inherently unstable area, i.e., on or within ten miles of a fault line / flood plain, or in a severe weather zone (e.g., subject to hurricanes, tornados).	Cost is sensitive to market factors affecting value of real estate, construction in facility locale.
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Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

Facility is located in an inherently stable area, and is sited a minimum of five feet above and 100 feet from any 100 year flood plain areas, or is protected by an appropriate flood wall that conforms to local or regional building codes.

high Facility is located in an inherently stable locale and is reinforced and seismically sound.

1.2.1 Strategic locale⁶

low Facility is located within two miles of a strategically important potential military or terrorist target, such as a major power plant, dam, agency-level federal government building, reservoir, chemical or munitions manufactory, or military installation.

Assurance level is a function of distance from and the nature of the potential target.

Meeting optimal conditions is contingent upon strategic decisions regarding location of facility, which are not directly related to cost factors.

high Facility is located two miles or more from a strategically important potential military or terrorist target

1.2.2 Structure⁷

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

Cost is sensitive to market factors affecting value of real estate, construction costs in facility locale, capacity and level of sophistication of climate control system, and cost of adaptation of shelving system adopted.

Repository occupies a purpose-built, fire- and waterproof, secure storage structure designed in accordance with regional building codes to provide protection from building collapse or failure of essential equipment from earthquake hazards, tornados, hurricanes and other potential natural disasters

high Repository occupies a purpose-built, fire and waterproof, secure storage structure that meets all conditions specified in NARA structural requirements for new records storage facilities (NARA Regulations Subchapter B, Sections 1228.228 and 1228.230).

Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

1.2.3 Protection from Water Damage⁸

low	Storage space is not monitored for water leaks, damage.						Sophistication of water detection system, size (in cubic feet) and structural complexity of the physical facility; relative extent of human security monitoring.
	Storage space is monitored during facility open hours	40 hrs/wk	50 hrs/wk	60 hrs/wk	70 hrs/wk	80 hrs/wk	
high	An early warning system has been installed in storage space providing automatic water detection + 24/7 human monitoring						

1.2.4 Protection from Fire Damage⁹

low	Storage space is equipped with a professionally-designed fire-safety detection and suppression system that is designed to limit the maximum anticipated loss in any single fire event to a maximum of 300 cubic feet of records destroyed by fire.						Sophistication of fire suppression, alarm systems, size (in cubic feet) and structural complexity of the physical facility; relative extent of human monitoring.
	Storage space also has open hours human monitoring + automatic alarm system + suppression system	40 hrs/wk	50 hrs/wk	60 hrs/wk	70 hrs/wk	80 hrs/wk	
high	Storage space has 24/7 human monitoring + automatic alarm system + suppression system						

1.2.5 Security

low	The are no significant barriers to unsupervised access to collection storage areas						Cost is a function of the number of facility entrances, exits; the extent (in number of person hours per user) of human supervision, and the extent of electronic monitoring.
	Access to and egress from collections storage is under repository staff supervision only						
high	Access to and egress from collections storage is under repository staff supervision only and is constantly monitored by security/reception staff or by electronic monitoring (e.g., door alarms, motion detectors, etc.)						

**“Collection of Last Resort” Tangible Repository Decision Framework
Part 2: Services**

Assurance level	Assurance Factors	Additional Values Low value >>> High value	Cost Factors
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2.1 Physical Maintenance

2.1.2 Replacement Provisions¹⁰

low	Materials are replaced on an ad hoc basis, as resources allow.		Rate of replacement of gov doc is driven by level of use, access; relative cost of items requiring replacement; number of FTEs engaged in replacement activities and local salary rates for same.
	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 doc holdings	
high	The repository has an established workflow and standing budget line for replacement of gov docs.	Assurance level is a function of the ratio of allotment for replacement/repair to number of gov doc holdings	

2.2 Disclosure of Holdings

2.2.1 Cataloging / Metadata Production¹¹

low	The repository makes available published GPO catalogs, guides, indexes only as guides to holdings		Cost is a function of the number and granularity of individual bibliographic and item records produced or derived.
	The repository creates and maintains title- and series-level bibliographic records for gov doc holdings		
high	The repository creates and maintains item-level holdings records for gov doc holdings		

Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

2.2.2 Availability of Data/Metadata¹²

low	Catalog and holdings records are available in a local file, shelf list or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in local file.	Cost is a function of the number of total gov docs holdings represented by records, and the cost of loading and maintaining holdings in union database or utility.
	Complete catalog and holdings records are available in a union file or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in union file.	
high	Complete catalog and holdings records are available in a national utility and a local file or database	Level of assurance is function of the percentage of total gov docs holdings represented by records in national utility.	

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

2.3.1 Validation Authority – The degree to which a repository’s holdings and provision of services are independently verified.

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 the verifiable level of gov docs expertise of the responsible staff	Cost is a function of the frequency and sophistication of the validation process, the extent of the materials sampled, and the relative level of proficiency of the personnel engaged in the process.
	The holdings are validated by the repository itself using an approved self-assessment instrument.	Level of assurance is a function of the level of detail in specifications for self-evaluation, and the verifiable level of gov docs expertise of the responsible staff	
high	The holdings are validated by an independent third party.	Level of assurance is a function of the frequency of validation and extent of the sampling	

2.3.2 Validation/inventory¹³ – The level at which gov docs holdings of a repository are initially validated as present and complete, against “control data” such as guides, lists and bibliographic records.

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low	Presence and integrity (i.e, completeness and sound physical condition) of all repository content are confirmed against GPO catalogs, guides, authoritative shelf lists at the series level.	Level of assurance is a function of the extent of the sampling within each series checked in the validation process.	Cost is a function of the total number of series, titles, and items sampled, and the relative level of proficiency of the personnel engaged in the validation process.
	Presence and integrity of all repository content confirmed against GPO catalogs, guides, authoritative shelf lists at the title level.	Level of assurance is a function of the extent of the sampling within each title checked in the validation process.	
high	Presence and integrity of all repository content are checked against GPO catalogs, guides, authoritative shelf lists at the item level	Level of assurance is a function of the extent of the sampling within each item (e.g., no. of frames per reel, pages per volume) checked in the validation process.	

2.3.3 Inventory Regime – The frequency and timing of systematic checking of shelves to confirm proper filing order of gov docs

low	Materials are checked at circulation, or when copy of item is requested.						Costs are sensitive to the number of materials inventoried, the frequency of inventory, and the relative level of proficiency of the personnel engaged in the inventory work.
	Materials are checked periodically, triggered by moving, re-shelving, weeding or other event.						
high	Materials are checked frequently on a scheduled basis.	Less than every ten years	Less than every five years	Less than every three years	Biannually	Annually	

2.4 Storage and Integration

2.4.1 Integration of Government Publication Collections – The extent to which gov docs are maintained in a way that supports their preservation and control as a discrete body of materials.

Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

low	Gov docs are integrated with other repository collections. Gov docs are maintained and controlled in a distinct filing scheme or class but are stored with other repository holdings.
high	Gov docs are maintained physically separate from other repository holdings.

2.5 Maintenance and Physical Handling

2.5.1 Replacement Copies¹⁴

low	Repository policy requires replacement of damaged or lost gov docs with photocopy / microfilm Repository policy requires replacement of damaged or lost gov docs with recent edition	Costs increase with number of items requiring replacement and the rigor of requirements for replacement.
high	Repository policy requires replacement of damaged or lost gov docs with original edition	

2.5.2 Physical Markings and Bibliographic Identifiers¹⁵

low	Repository applies minimal markings required by GPO Repository applies ownership markings to each item	Costs are proportionate to the number of items marked and sophistication of marking technologies implemented.
high	Repository applies RFID or tag and ownership markings to each item	

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

2.7.1 Staff credentials

low	Staff have minimum on-the-job training for preservation and archives activities		Cost is a function of number and degree of proficiency of FTEs and local salary rates for repository personnel.
	Staff have MLS/MLIS + formal preservation training		
high	Staff have formal government docs training + MLS/MLIS + formal training in preservation and disaster preparedness.		

2.7.2 Level of staffing

low	No dedicated government docs trained library staff		Cost is a function of number and degree of proficiency of FTEs and local salary rates for repository personnel.
	Less than one FTE dedicated government docs-trained librarian	Level of assurance is a function of the ratio of FTEs to number of gov docs	
high	One or more FTE dedicated government docs-trained librarian.	Level of assurance is a function of the ratio of FTEs to number of gov docs	

CENTER FOR RESEARCH LIBRARIES

"Collection of Last Resort" Tangible Repository Decision Framework

Part 3: Organization and Assurances

Assurance level	Assurance Factors	Additional Values Low value >>> High value	Cost Factors
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3.1 Strategic Considerations -- System

3.1.1 Redundancy and Distribution of Holdings -- The extent to which the gov docs are duplicated in geographically dispersed locations in order to mitigate risk

low	<p>No redundancy: there is a single comprehensive set of gov docs in one repository</p> <p>Minimal redundancy: a single "distributed" comprehensive set is held by a group of repositories</p>	<p>Assurance level is inversely proportionate to the number of repositories among which each set is distributed.</p>	<p>Cost is a function of the number of sets assembled and maintained; number of participating repository facilities; local salary rates for repository personnel.</p>
	<p>Some redundancy: complete sets are maintained at multiple locations</p>	<p>Complete sets at two locations Complete sets at three locations Complete sets at [...] locations</p>	
high	<p>High redundancy: complete sets are maintained at multiple, strategically dispersed geographical locations</p>	<p>Assurance level is a function of the number of complete sets and the geographical distance between repositories</p>	

3.1.2 Escrow for Default -- Funds held in reserve to accommodate repositories that are no longer viable for economic or other reasons

low	<p>Default costs are not budgeted or held in escrow</p> <p>Default costs are covered by a federal guarantee of funds</p>		<p>Cost is a function of scale of repository holdings (in number of titles) and level of accommodation provided for.</p>
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Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

high	Default costs are 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
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3.2 Repository Governance and Transparency

3.2.1 Governance of Operating Organization -- The nature of the entity with budgetary and governing authority over repository

low	Repository is operated by an organization or federation of institutions that is not a legally constituted corporation and is not directly accountable to the federal government.	Level of assurance is a function of the specificity of the terms of obligation embodied in the governing agreement.	Minimal cost impact: initial cost level (legal cost) corresponds generally to the degree of specificity and comprehensiveness of the terms of obligation embodied in the governing agreement and legal status of the agreement.
	Repository is operated by an organization or institution that is legally constituted, such as a private consortium, library, or university, but is not directly accountable to the federal government.	Level of assurance is a function of the specificity of the terms of obligation and legal status of the governing agreement.	
	Repository is operated by a state or municipal government	Level of assurance is a function of the specificity of the terms of obligation as embodied in the governing statutes.	
high	Repository is operated by the federal government		

3.2.2 Policy Infrastructure -- The degree to which the repository’s mission-critical policies are formalized and disclosed

low	Repository policies and responsibilities of critical staff are not consistently written and formalized. Repository policies and responsibilities of critical staff are consistently written and formalized.		Cost is a function of the number and variety of mission-critical activities undertaken by the repository.
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Section 3: "Collection of Last Resort" / Dark Archive Tangible Repository: Decision Framework

high Repository policies and responsibilities of critical staff are consistently written and formalized, reviewed on a regular basis at the executive or board level; all mission-critical policies are published.

3.2.3 Accountability -- The level at which the repository activity is recognized within the operating organization or parent institution

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.

Cost corresponds to the number and level of responsibility of the personnel assigned overall accountability for repository activities; local salary rates for personnel.

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

3.2.3 Funding -- The degree to which funding of the repository activity is prioritized by the operating organization or parent institution

low Support of gov docs repository is integrated with other service function allocations in the operating institution's budget

Support of gov docs repository is a line item in institution-wide budget

Minimal cost impact: cost generally corresponds to the degree to which repository allocation is segregated and separately managed.

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

3.3 Repository Charter

3.3.1 Instrument¹⁶ -- The means by which the repository's obligations to the GPO are established and formalized

Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

low	Non-statutory repository obligations are secured by memorandum and/or written policies Non-statutory repository obligations are secured by contract	Minimal cost impact: initial cost level (legal cost) corresponds generally to the degree of specificity and comprehensiveness of the terms of obligation embodied in the governing agreement and legal status of the agreement
high	All repository obligations covered by statute, augmented by SuDoc regulations	

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

low	Representative of the repository library Parent organization of the repository library	Minimal cost impact
high	State or municipal government with jurisdiction over parent organization of repository library	

3.3.3 Duration of agreement in years -- The duration of the effective period of the agreement embodying repository's obligations

low	Repository obligations are in effect for one to five years Repository obligations are in effect for six to ten years	Cost is a function of duration of obligation in years.
high	Repository obligations are in effect for eleven to 25 years	

3.3.4 Effect of Termination -- Consequences for participating institution or organization of default, premature termination or withdrawal of holdings

low	No penalty Loss of holdings	Cost is contingent upon ability of participating institution or organization to fulfill obligations.
high	Loss of holdings + monetary liability	

Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

3.3.5 Choice of Law -- Legal jurisdiction under which matters relating to the agreement are arbitrated or adjudicated

low	Undetermined State in which repository institution resides	Minimal cost impact: cost is affected by the geographical distance of the participating institution or organization from chosen jurisdiction.
high	District of Columbia	

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

low	Documentation on services and obligations of the repository is available on request	Minimal cost impact: level of publication and disclosure of obligations and level of functionality of presentation of same involves some maintenance costs.
high	Documentation on services and obligations of the repository is published, available on Web, and archived in a persistent format.	

3.3.7 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	Minimal cost impact: degree of formalization of permission process will have small direct impact.
high	Modification by GPO directive only	

Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

3.3.8 Indemnification – The extent to which repository holdings are indemnified against wholesale loss or destruction by a credible underwriter other than the government.

low	Repository holdings are not indemnified		Cost level will correspond directly to scale and value of holdings covered, and degree of indemnification provided.
	Repository holdings are indemnified by a credible underwriter to an arbitrary and limited replacement cost		
high	Repository holdings are indemnified by a credible underwriter to meet the full actual costs of replacement	Level of assurance is a function of the percentage of the collection that is specifically covered by indemnification plan.	

3.4 Ownership and Control

3.4.1 Ownership of Tangible Content

low	Ownership or title in the gov docs held by repository is not formally established or is held separately by one or more participating institutions	Assurance level is inversely proportionate to the number of institutions holding ownership of the materials	Non-monetary indirect costs accrue to the contributing organizations and institutions to the extent to which they relinquish ownership of repository content.
	Some or all gov docs held by the repository are legally owned by non-governmental institution operating the repository.	Assurance level is inversely proportionate to the percentage of documents owned by to the institution operating the repository	
high	All materials docs held by the repository are owned by the federal government		

3.4.2 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	No direct cost impact
	Facility is owned or operated by private / city / state library		
high	Facility is owned or operated by the federal government or the GPO		

Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

3.4.3 Control of Staff

low	Repository duties assigned to staff of parent institution as collateral duties	Assurance is a function of the degree to which the repository staff is dedicated to that function	Costs increase in relation to the degree to which the staff is employed solely for the repository.
	Repository duties assigned to specific staff provided by the parent institution or its contractor		
high	Repository duties assigned to staff employed by the Federal government, GPO, or its contractor		

3.5 Auditing and Certification

3.5.1 Certification of Facility¹⁷ -- Means by which conditions and services provided by repository are certified

low	Facility is self-described or self-audited and certified	Assurance level is a function of the frequency of the certification process and the level of staff performing the auditing.	Cost corresponds directly to the size and number of services provided by the repository; proficiency level of staff performing certification and corresponding local and federal salary rates; frequency of auditing and certification process.
	Parent auditing and certification with an established self-assessment instrument	Assurance level is a function of the frequency of the certification process and the level of staff performing the auditing.	
high	Site visit + documentation by third party	Assurance level is a function of the frequency of the certification process	

3.5.2 Certification Frequency and Timing -- How often and on what schedule site visits are made by GPO / others to audit repository conditions and services

low	Auditors visit at the time of the repository’s initial charter.		Cost corresponds to number and frequency of site visits.
	Periodic scheduled visits occur after charter visit.		
high	Annual visits are made on an unscheduled basis.		

3.6 Storage Commitment of Repository

3.6.1 Original Form – Degree to which the physical characteristics present in the original form of the materials are preserved

low	Material is maintained and available in some tangible format (may be a reprint or copy).	Cost will be a function of the degree to which holdings must be maintained and preserved in their original formats.
	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.	

3.6.2 Security

low	Material is maintained in closed stacks with access monitored and controlled.	Costs will be a function of the relative sophistication of and human intervention required by security system
high	Material is maintained in a closed stack environment with on-demand retrieval of specifically requested items.	

3.6.3 Emergency Preparedness¹⁸

low	Institution has no written, formal emergency preparedness and recovery plan in place.	Minimal cost impact: Initial costs are a function of the degree of complexity and specificity of the emergency preparedness plan.
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Section 3: "Collection of Last Resort" / Dark Archive Tangible Repository: Decision Framework

Institution has conducted a risk assessment on storage facility for hazards from water, fire, chemical, and natural disasters.

Institution has a written emergency preparedness and recovery plan, based on risk assessment, which is reviewed on a regular basis for currency and completeness and makes this information available to repository library staff, administration and Board

Institution has a written emergency preparedness plan, which is reviewed on a regular basis for currency and completeness, and makes this information available to the GPO or its formally designated agents.

high

Institution has a written emergency preparedness plan, in which gov docs are prioritized for salvage / recovery. The plan is reviewed on a regular basis for currency and completeness, and makes this information available to the GPO or its formally designated agents

Section 3: “Collection of Last Resort” / Dark Archive Tangible Repository: Decision Framework

References and Standards Cited

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- ³ Wilson, William K. *Ibid*.
- ⁴ Wilson, William K. *Ibid*.
- ⁵ Federal Emergency Management Administration, Mitigation Division, *Preparation and Prevention: Insurance and Mitigation Resources*. <http://www.fema.gov/library/prepandprev.shtm#earthquakes>.
- ⁶ Federal Emergency Management Administration, Mitigation Division, *Reference Manual to Mitigate Potential Terrorist Attacks Against Buildings*. FEMA Publication 426. December 2003 <http://www.fema.gov/fima/rmsp426.shtm>.
- ⁷ Nitecki, Danuta and Curtis L. Kendrick. *Library Off-site Shelving: A Guide for High-Density Storage*. Englewood, Colo: Libraries Unlimited, 2001; and National Archives and Records Administration. “*Facility Standards for Records Storage Facilities*” *Regulations, Subchapter B, Part 1228, Subpart K. Section 228*. http://www.archives.gov/about_us/regulations/part_1228_k.html#fac.
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- ⁹ *Ibid*.
- ¹⁰ Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html.
- ¹¹ *U.S. Code*, Title 44 -- Public Printing and Documents, Chapter 19 -- Depository Library Program, and *Anglo American Cataloging Rules*, Second edition, 1988 revision.
- ¹² Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html.
- ¹³ Federal Depository Library Program, *Instructions to Depository Libraries*, revised 2000, http://www.access.gpo.gov/su_docs/fdip/pubs/instructions/index.html.
- ¹⁴ *Ibid*.
- ¹⁵ *Ibid*.
- ¹⁶ United States. *Uniform Commercial Code.*, and *U.S. Code*, Title 44 -- Public Printing And Documents, Chapter 19 -- Depository Library Program.
- ¹⁷ *Federal Depository Library Manual*, Supplement 3. Self-Study of a Federal Depository Library; and repository charter document.
- ¹⁸ Seibert, Ann I., *Emergency Preparedness for Library of Congress Collections*. Library of Congress, Washington, D.C., 1996 <http://www.loc.gov/preserv/pub/seibert/> and Lisa L. Fox, *Disaster Preparedness Workbook for U.S. Navy Libraries and Archives*. Northeast Document Conservation Center / U.S. Naval War College Library, 1998

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.