



LPS Annual Report: FY 1996

Mission

As authorized by Title 44, United States Code, the Library Programs Service (LPS) administers the Federal Depository Library Program (FDLP), the Cataloging and Indexing Program (C&IP), and manages the distribution component of the International Exchange System (IES) Program for the Library of Congress. These programs are accomplished through the seven basic functions of LPS: the acquisition, classification, format conversion, dissemination, and bibliographic control of Government information products, the inspection of depository libraries, and the continuing education and training initiatives that strengthen the ability of depository library personnel to serve the public.

Summary

FY 1996 was characterized by the intensive review and planning for the future of the Federal Depository Library Program (FDLP) which took place in the Congressionally-mandated "Study to Identify Measures Necessary for a Successful Transition to a More Electronic Federal Depository Library Program." The basic future direction and timetable for incorporating electronic information into the FDLP have been developed and generally accepted by the Congress and the depository library community. But it was also a year marked by progress in every area of the Library Programs Service (LPS) in effectively moving toward a more electronic program.

As a result of articulating the principles and goals, and the short- and long-term planning efforts, LPS is better able to balance the complex issues attending the transition to electronic information dissemination and our ongoing traditional services. Every area of LPS has benefitted from the planning process and has made real strides toward incorporating electronic Government information products into the FDLP. This report will focus on the transition to electronics, and will also highlight the effect of these developments on traditional services. LPS highlights for FY 1996 included:

- The first "Internet-only" products appeared in the FDLP;
- Subscription fees to GPO Access were eliminated; usage exceeded 2.5 million downloads per month;
- The Monthly Catalog CD-ROM and pamphlet editions were published;
- Pathway Services were developed and introduced;
- A basic electronic information service requirement was established for depository libraries.

The Study

In August 1995, GPO, at the direction of Congress, initiated a cooperative study to identify measures necessary for a successful transition to a more electronic FDLP. GPO was directed to provide Congress with the results of this study by March 1996, and to submit an FY 1997 appropriations request consistent with a strategic plan based on those results. The study was concluded in March 1996, and a draft Study Report was released for public comment. We considered each of the many comments that we received, and incorporated them into the final Study Report, which was issued in June 1996.

Superintendent of Documents Wayne P. Kelley provided the overall coordination for the Study, and the Director of the Office of Electronic Information Dissemination Services (EIDS) Judith C. Russell directed the executive working group, which comprised staff from the:

- Joint Committee on Printing
- Office of Management and Budget
- House Oversight Committee
- Senate Committee on Rules and Administration
- House and Senate Appropriations Committees
- Government Printing Office
- Congressional Research Service of the Library of Congress
- National Archives and Records Administration
- Federal Publishers Committee
- Interagency Council on Printing and Publication Services
- Administrative Office of the U.S. Courts
- Library associations
- Federal depository library community

Preliminary Transition Plan

In December 1995 a separate document entitled "The Electronic Federal Depository Library Program: Transition Plan, FY 1996 - FY 1998" was developed by GPO and included with our FY 1997 appropriations request. The budget-driven Transition Plan was completed before much of the work on the Study because of the timetable for annual budget submissions.

This early version envisioned an ambitious approach to changing the FDLP to a predominately electronic program in 2.5 years. The Transition Plan was very useful to GPO in eliciting public comment on these issues, the essence of which was that a 2.5-year transition period was too fast, and exceeded the ability of the depository libraries, the publishing agencies, and the public to properly use or support this volume of electronic information. Input from publishing agencies and depository libraries indicated that a 5 to 7 year transition is more realistic and cost-effective since it would allow GPO to change to electronic information as rapidly as the publishing agencies can produce it and the libraries can absorb it. This view was accepted by the Congress during the

consideration of GPO's FY 1997 appropriations request. (See House Report 104-657, Legislative Branch Appropriations Bill, 1997.)

Study Report: Strategic Plan

The public comments in response to the Transition Plan led directly to the development of the Strategic Plan included in the June 1996 Study Report, which proposed a more gradual transition, from FY 1996 through FY 2001. Emphasizing the incorporation of electronic information into the FDLP, the Strategic Plan advances the FDLP toward a more electronic information dissemination and access program. This Plan reflects the views and advice of the library community, Federal publishing agencies, and users of Government information. These views extend from the more realistic timetable, to increased emphasis on appropriate formats and the necessity for permanent public access to electronic information.

In accordance with the Strategic Plan, the FDLP is providing Government information products in a variety of formats to the depository libraries. Electronic information is being made accessible to the public directly or through depository libraries from a system of Government electronic information services administered by GPO, other Government agencies, or institutions acting as agents for the Government. The Pathway Services are identifying and connecting users to electronic information products and services of GPO and other agencies. We are working to obtain electronic source files from agencies, such as the Department of Energy, for mounting on GPO Access. Tangible Government information products, including CD-ROMs, diskettes, paper, or microfiche, continue to be distributed to libraries although the volume is declining.

Permanent access to Government information is a critical issue in the electronic environment. GPO will, through the mechanism of the FDLP, ensure that electronic Government information products are maintained for permanent public access, in the same spirit in which regional depositories provide permanent access to print products. This requires the development of a distributed system that includes all of the institutional program stakeholders: information producing agencies, GPO, depository libraries and the National Archives and Records Administration (NARA). To this end, discussions are already underway with NARA and the National Commission for Libraries and Information Science (NCLIS). GPO has also received inquiries concerning several university initiatives regarding permanent public access to electronic Government information.

FDLP Principles, Mission, and Goals

One outcome of the study was the articulation of the principles, mission, and goals of the FDLP. The study's statement of principles regarding Federal Government information closely followed the "Principles for Public Information" developed and published by NCLIS.

Within these broad principles, the Study Report stated that:

The mission of the FDLP is to provide equitable, efficient, timely, and dependable no-fee public access to Government information within the scope of the program.

The Strategic Plan included in the Study Report also articulated specific goals essential to the successful performance of this mission.

Study Conclusions

The key findings of the Study Report addressed the following issues:

- Scope of the FDLP,
- Notification and Compliance,
- Permanent Access to Authentic Information,
- Locator Services,
- Timetable for Implementation,
- Assessment of Standards for Creation and Dissemination of Electronic Government Information Products,
- Cost of Electronic Information Dissemination, and
- Legislative Changes.

In addition to the conclusions described in the Study Report, strong support emerged in the working group discussions over two major issues concerning the FDLP as a whole. The first issue concerned the value of having the authority for a broad-based public information program rest in the Legislative Branch. Nearly all of the participants felt that this model has served the public well. High value was placed on the presence of the FDLP in every Congressional district, to directly serve the public in local library settings.

There was also strong support for the value and utility to the library community of having a single entity in the Superintendent of Documents to coordinate library-related information dissemination activities. The depository library community has consistently affirmed the utility and cost-effectiveness of a "one stop shopping" approach to acquiring Government information. At the same time, centralizing this responsibility within GPO has fostered a relationship with the library community marked by enhanced communications and responsiveness to library and public information needs. In the study discussions nearly all of the participants agreed that it is not only possible but desirable to increase the dissemination of electronic information to depository libraries within the overall structure of current law and program operations, and that having a central entity to assist libraries and the public in accessing electronic Government information in a distributed environment is vital.

Legislative Changes That Support the Transition

Substantial changes in the FDLP already are underway within the structure of the existing statute. GPO is acting upon its existing statutory authority to incorporate electronic Government information products into the FDLP. However, certain amendments to Chapter 19 of Title 44 would facilitate the transition. For example, it should be

established without question that electronic Government information must be included in the FDLP, to establish authority and responsibility for the FDLP to ensure that both tangible and electronic Government information products are maintained permanently for depository library and public access, and to authorize the Superintendent of Documents to request that the originating agencies provide electronic source data files of their information products. Some suggestions for legislative changes, which incorporate the advice of various program stakeholders, are included in the Study Report. At the request of the Senate Committee on Rules and Administration, a detailed proposal for revising Chapter 19 was prepared and forwarded to the Committee for consideration.

Usage of the FDLP and GPO Access

The FDLP continues to be a principle mechanism to meet the Government information needs of the American public. The most thorough study of depository library users estimated that in 1989 there was "a minimum of 167,000 users, per week, of Government depository material in academic and public libraries" (McClure, Charles R., and Herson, Peter, *Users of Academic and Public GPO Depository Libraries*, GPO: 1989, p. ix). In the 1995 Biennial Survey of Depository Libraries, GPO collected updated estimates on the number of users of depository libraries. The Biennial Survey responses, from virtually every depository library, yielded an estimate that 189,000 to 237,000 persons used FDLP information each week.

In addition, users are also electronically accessing free Government information available from the GPO Access service at a rapidly growing rate. Users are downloading an average of 2.5 million documents per month from over 60 databases. System usage has expanded significantly since the user fee requirement for GPO Access was eliminated in December 1995.

ELECTRONIC TRANSITION ACTIVITIES

Library Service Requirements

In May 1996 LPS advised the depository community that technical requirements for serving the public with electronic information would become mandatory by October 1, 1996. All depositories are expected to offer users access to work stations with a graphical user interface, CD-ROM capability, Internet connections, and the ability to access, download, and print extensive documents. The ability for public users to access Government information via the World Wide Web (Web) is critical.

At the same time, we also issued a revised set of "Recommended Minimum Specifications for Public Access Work Stations in Federal Depository Libraries." These recommended specifications are intended to assist depository librarians who are planning purchases of new public access work stations capable of using most text-based FDLP electronic information products. Additional or different capabilities may be desirable for work stations used by library staff, but this is a local management decision.

Once we published the "Recommended Minimum Specifications," we were advised that work stations which conform to those minimum specifications may be inadequate for

electronic spatial data, to run geographic information system (GIS) software, or to print maps from electronic sources. The Cartographic Users Advisory Council (CUAC) then assisted LPS in the development of a supplemental set of specifications to support spatial data applications, which we published in June 1996.

Superintendent of Documents Web Site

FY 1996 saw additional development of the Superintendent of Documents Web site, which provided users a single point of entry for all of GPO's electronic services. Key improvements included introduction of the Pathway locator services, redesign of numerous pages to reduce scrolling and verbiage, direct links from Monthly Catalog records to content on the Internet, the Browse Electronic Titles page, and the FDLP administrative information pages.

Electronic Transition Staff

LPS' five-person Electronic Transition Staff (ETS) now includes Duncan Aldrich and Sandy Schwalb, who joined LPS on one-year appointments. The purpose of ETS is to identify, assess, and implement information technology solutions for the transition of LPS to a more electronically based program, with special emphasis on development of the Pathway Services. Duncan is concentrating on the issue of permanent public access for electronic information, while Sandy is working primarily in negotiating with agencies to expand depository access to their electronic information services.

Pathway Services

One of LPS' key accomplishments, and a key output of the ETS staff, is Pathway Services. These are available on the Internet via our GPO Access Web site at the following URL: http://www.access.gpo.gov/su_docs/aces/aces760.html.

Pathway Services are designed to provide a variety of useful "pathways" to anyone who uses Government information and has had difficulty in locating the needed information. Some of these services are familiar guides, with a new look and added functionality due to their computerization. Others are completely new maps to a wider variety of Government services and information than ever before, only made possible by the online environment. The suite of Pathway Services includes:

- Browse Topics - Classifies Government and military Internet sites under approximately 170 subjects, based on the subject terms used in GPO's Subject Bibliographies.
- Browse Pathway GILS - Provides an alphabetical directory of Government Information Locator Service (GILS) records prepared by LPS which describe the information policies and products of over 40 major Federal agencies.
- Browse Titles - Lists and connects users to electronic Government information products available on Federal Government servers, arranged alphabetically by agency.

- Search the Web (Pathway Indexer) - Contains a simple search form that will enable users to query a database of information collected on a regular basis from selected official Government sites.
- Search MoCat - The online Monthly Catalog identifies any type of Government information product regardless of format. Paper, microfiche, CD-ROM, or Internet products cataloged since 1994 are available, and the "locate" function shows which depositories have it.

TRADITIONAL SERVICES

Distribution to Libraries

LPS' Depository Distribution Division (DDD) is responsible for the receipt, shipment preparation, and physical distribution of the tangible Government information products that LPS distributes to the depository libraries.

LPS' FY 1996 distribution of tangible products, by format, was:

Titles	FY1995	FY1996
Paper	17,466	14,268
Tangible Electronic	412	639
Microfiche	26,856	14,465
TOTAL	44,734	29,372

Copies	FY1995	FY1996
Paper	7,162,418	6,084,337
Tangible Electronic	231,269	275,815
Microfiche	9,583,575	7,112,794
TOTAL	16,977,262	13,472,946

In FY 1996, depository libraries also received 1,832,298 microfiche copies of 14,102 Department of Energy (DOE) reports distributed directly from the DOE facility in Oak Ridge, Tennessee. FY 1996 is the final year of the distribution of the DOE reports in microfiche, as the DOE Office of Scientific and Technical Information (OSTI) is terminating its microfiche operations and beginning its own transition to an electronic information management system. DOE/OSTI and GPO are working together to develop an electronic replacement that will keep this content available to depository libraries. In addition, there were 228,096 copies of 11,665 maps distributed directly from the U.S. Geological Survey.

Nearly all depository shipments continue to be delivered by commercial carriers. GPO awarded a new delivery contract to United Parcel Service, which now delivers nearly all

depository shipments from LPS. Delivery by the U.S. Postal Service still accounts for less than 10% of all depository shipments.

The Lighted Bin System (LBS) was enhanced by linking the Texas Instruments Model 872 minicomputer that drives the LBS to a 486 PC. This allowed LPS to eliminate the obsolete and expensive cost to repair the tape drive system. LPS is now able to update the LBS with a daily download from GPO's mainframe of item selection files from DDIS (the Depository Distribution Information System).

In addition, the reliability of the LBS relating to the lamp drivers and LED displays at each throwing zone was upgraded. The display units at each of the throwing zones were replaced with new, commercially available, off-the-shelf equipment. The equipment was integrated with custom firmware as needed to provide a fully functional, more reliable system. By making this upgrade LPS has reduced the annual maintenance contract for the LBS by 50%.

Acquiring Content for the FDLP

Traditional acquisitions duties have been expanded by identifying and reviewing products available from Government Internet sites. By September 1996, the Browse Electronic Titles page had over 500 electronic product titles listed on the page. These products are classified and sent for cataloging into the Monthly Catalog. Weekly updates to the Browse Electronics Title page are done each Monday, with an average of over 50 titles added each week.

The number of tangible electronic products, a category that is virtually all CD-ROM titles, continues to grow in the FDLP. New CD-ROM products include the Tide Tables from the National Oceanographic and Atmospheric Administration, FBIS (Foreign Broadcast Information Service) from the Central Intelligence Agency, and USAPAT from the Patent and Trademark Office. LPS has received the first CD-ROM from the National Aeronautics and Space Administration (NASA) that is not connected to the Magellan series.

Recent discussions with staff from the National Technical Information Service (NTIS) has included depository requirements for paper copies of the U.S. Industrial Outlook and the Medical Subject Headings. NTIS also provided depository copies of the Big Emerging Markets and the Government Applications of Computer Card Technology for the FDLP.

Copies of the Population of States and Counties of the United States: 1790-1990 and the Current Population Report, Hispanics-Latinos: Diverse People in a Multicultural Society were obtained from the Census Bureau for replication and distribution to the depository libraries. We are continuing discussions with these and other agencies to ensure receipt of depository copies when the products are produced.

Depository Inspections

In FY 1996 the Depository Services Staff (DSS) conducted on-site inspections in 217 depository libraries, 13 more than the 204 inspected in FY 1995. The number of depositories examined reflected the full travel schedule by the 2 inspectors hired in the spring of 1995. However, one inspector was reassigned to the Electronic Transition Staff and another inspector resigned in August 1996. Four libraries were designated depositories in FY 1996. Fourteen libraries relinquished their depository status, an increase of 8 over FY 1995. Only one library cited lack of electronic equipment as the reason for terminating status.

At year's end there were 1,376 libraries in the FDLP, a reduction of 10 from a year earlier. Twelve libraries were placed on probation because of deficiencies discovered during inspections, while 5 others were removed from probationary status based on improvements in compliance, which were observed during the re-inspection.

The redesign of the inspection program began in FY 1996, in the planning process associated with the Study. This will permit some of the resources devoted to periodic inspections to be reallocated to FDLP system support and related services for depository libraries. With the adoption of the DSS-initiated depository library self-study as an evaluation tool for use by the libraries, the basis for inspections will be that which is specified in 44 U.S.C. 1909, which states that "the Superintendent of Documents shall make firsthand investigation of conditions [in depository libraries] for which need is indicated . . . "

DSS has worked extensively with the Depository Library Council (DLC) and the library community to develop, field test, and refine the self-study. The "Self-Study of a Federal Depository Library" was issued as Federal Depository Library Manual Supplement 3 in September 1996 and the template was available for downloading from the Federal Bulletin Board (FBB) and FDLP Administration Web page. It will be put into regular use in FY 1997, beginning with those libraries that were last inspected in 1989 and 1990.

Within LPS, DSS takes the lead in organizing continuing education efforts for documents librarians. The two premier events are the annual Federal Depository Conference, which is conducted in conjunction with the spring DLC meeting, and the annual Interagency Depository Seminar. The planning and organization of these events, as well as the coordination of GPO Access training and demonstrations with EIDS, have taken an increasing proportion of the staff time in DSS.

The 1996 Conference, held from April 15-18, was an overwhelming success, with over 600 attendees, exceeding the prior year attendance by nearly 50%. The Conference location shifted to the Washington National Airport Hilton, which provided excellent facilities and service. The agenda again allowed the attendees to choose among a selection of simultaneous sessions in addition to the plenary sessions. The DLC plenary sessions occupied the mornings of the first two days, and then DLC continued as a separate "track," enabling some of the attendees to pursue other interests. The "new librarians' track" begun in 1995 was expanded and was well received in the 1996 Conference. As requested by Council, the spring DLC meeting was extended to 3.5 days,

allowing additional time for librarian participation and DLC deliberation. The Proceedings of the 5th Annual Federal Depository Library Conference, which is also available electronically on the FDLP Administration Web page, was shipped to all depositories in September.

DSS also coordinated the week-long 9th Annual Interagency Depository Seminar held in late May 1996, which was attended by over 50 librarians. This seminar is designed as "basic training" for new documents librarians. It was presented by GPO, Library of Congress, Patent & Trademark Office, Copyright Office, Office of the Federal Register, Bureau of the Census, Bureau of Labor Statistics, etc.

Responses from the 1995 Biennial Survey of Depository Libraries were collected by LPS by the end of December 1995. Because the data was collected and compiled using the Teleform fax software, results were available to LPS sooner than any previous year. The survey data on the number of users served by the depository libraries, and on the libraries' utilization of electronic products and services, was timely and extremely useful in the Study process. Summary data from the Biennial Survey appears on pp. A-161-165 of the Study. Only 5.2% of the Federal agency depositories provide access to electronic Government information for both their primary clientele and the public. The ability to support a graphical user interface to the Internet (i.e., World Wide Web) is available at 50.4% of all depositories for primary patrons and 37.6% for the public. CD-ROMs are accessible at 82.9% of depositories from stand alone work stations. Given the emphasis on electronic Government information in the intervening 9 months, we expect that all these percentages would be higher today.

DSS issued a variety of products throughout the year. The "Guidelines for the Federal Depository Library Program" was a collaborative effort among 3 DLC members, DSS, and 6 representatives from the depository community. The text was printed in February 1996 as Federal Depository Library Manual Supplement 2.

The revised Superseded List, published in September 1996, was compiled from contributions from 27 depository librarians, and edited by DSS. It, too, is available for downloading from the FBB and the FDLP Administration Web page.

DSS received permission from the Joint Committee on Printing (JCP) to publish a Federal Depository Library Directory as the JCP had no current plans to update the 1994 committee print entitled A Directory of U.S. Government Depository Libraries. This directory was supplied to the Federal Information Centers, GPO Bookstores, JCP, depositories, and other users in September.

Cataloging and Indexing Program

LPS completed the modernization of the Monthly Catalog of U.S. Government Publications (MoCat) product line. The first edition of the CD-ROM MoCat was published and distributed in late July. This issue, consisting of 9,778 records, contained the 1996 Periodicals Supplement and edited records corresponding to the January through June 1996 printed catalogs. Featuring both DOS and Windows user interfaces, the CD-ROM accumulates data on an ongoing basis through the subscription year, with each

issue replacing the previous disc. The changes that LPS made to the contents, organization, and indices of the paper MoCat substantially reduced the size and cost of the paper product, beginning with the January 1996 issue. These changes enabled LPS to produce the CD-ROM edition without a significant cost increase.

In addition, the Superintendent of Documents' Web site includes MoCat data online, with the capability to identify specific libraries that selected that information. Procedures are in place to load MoCat records into the MoCat Web application on a daily basis, and the MoCat file now contains approximately 66,000 records published from January 1994 through as recently as two days ago. URLs (Uniform Resource Locators) are being included in MoCat records and hot linked to the electronic texts of products available via Federal Government Internet services. Well over 300 MoCat records are hot linked. Verifying these links and maintaining linkage related information in MoCat records is a new and evolving responsibility.

Policies for transcribing URL data within the 856 field of MoCat records have been implemented as have policies for the inclusion of Internet related notes. URLs are now entered in the 856 field of MoCat records in conformity with recently established CONSER policies. Implementation of these policies is in accordance with the expressed wishes of Council.

During FY 1996 approximately 32,000 titles were received for cataloging, and approximately 35,000 titles were processed. By the end of FY 1996 the cataloging backlog stood at some 500 tangible product titles and about 500 Internet-accessible Government information products. An increasingly complex part of the Cataloging Branch workload involves the periodic verification and updating of URLs in the cataloging records. Even with the use of URL checking software significant human intervention is required to determine the current location of a given product.

Handling of Online Electronic Products in the FDLP

During the 1996 meetings of the Depository Library Council and the American Library Association, discussions occurred which assisted LPS in establishing policies for how electronic Government information products are incorporated into the FDLP. These policies, which were first published in May 1996, include online electronic products that are available on the GPO Access Internet site or on other agencies' electronic information services. LPS worked to develop a consolidated approach to presenting and identifying online electronic products. This approach carried forward some familiar elements of the paper-based model, adapted to fit the needs of the electronic environment.

For example, in order to assist librarians and users with the transition to a more electronic FDLP, classification numbers will be assigned to electronic titles. This use of the classification system should also assist in relating electronic products to their print antecedents. The application of the Superintendent of Documents classification system to physical products will be continued.

New online electronic titles will be assigned item numbers, which will represent the electronic products of an agency. This will assist depository libraries in establishing

profiles with vendors so that only selected categories of bibliographic records will be added to their online public access catalogs.

Once these policies had been developed, LPS was well equipped to visit information-producing agencies and explain to them the changes in the FDLP resulting from the transition to a more electronic program. LPS staff have arranged outreach calls at NASA, the Bureau of the Census, and the Small Business Administration to discuss in detail how the FDLP can assist them in accomplishing their public information dissemination missions.

Financial Situation

Significant progress toward a more electronic FDLP is being made with essentially flat, or declining, funding. Congress has authorized an FY 1997 appropriation of \$29.077 million for the Salaries and Expenses (S&E) of the Superintendent of Documents, which funds four programs: Depository Library Distribution, Cataloging and Indexing, International Exchange, and By-Law Distribution. GPO's FY 1997 funding request of \$30.8 million for the S&E Appropriation assumed some FDLP expenses, especially those associated with acquiring and shipping printed products, will decline as the use of electronic information dissemination technologies increases. However, we expect that there will be offsetting cost increases in other areas, such as expanding the capacity of the GPO Access system, acquiring and converting electronic source data files, and CD-ROM software licensing fees.

Since December 1, 1995, when the GPO Access service was made available at no charge, costs associated with public use of the service have been borne by the FDLP. During FY 1996, FDLP funds have been used for such GPO Access system enhancements as additional storage capacity, dedicated servers for new databases and the Pathway indexer, and enhanced telecommunications capabilities.