



LPS Annual Report: FY 2002

Summary

The Library Programs Service (LPS), U.S. Government Printing Office, administers two major programs: the Federal Depository Library Program (FDLP), and the Cataloging and Indexing Program (C&IP). The FDLP and the C&IP work in concert to provide timely, permanent, no-fee public access to U.S. Government publications. LPS achieves this mission by:

- Coordinating a network of libraries that assist the public in using FDLP collections of U.S. Government publications; Creating and maintaining tools to identify, describe, locate and obtain publications; and
- Maintaining permanent collections of U.S. Government publications.

These functions are accomplished through the basic operations of LPS:

- Acquiring, classifying, and cataloging U.S. Government publications in all formats; Disseminating U.S. Government publications in all formats; Assuring permanent public access to all publications in FDLP collections, with particular attention to archiving online U.S. Government publications; Inspecting depository libraries for compliance with statutory requirements;
- Providing continuing education and training opportunities to depository library personnel.

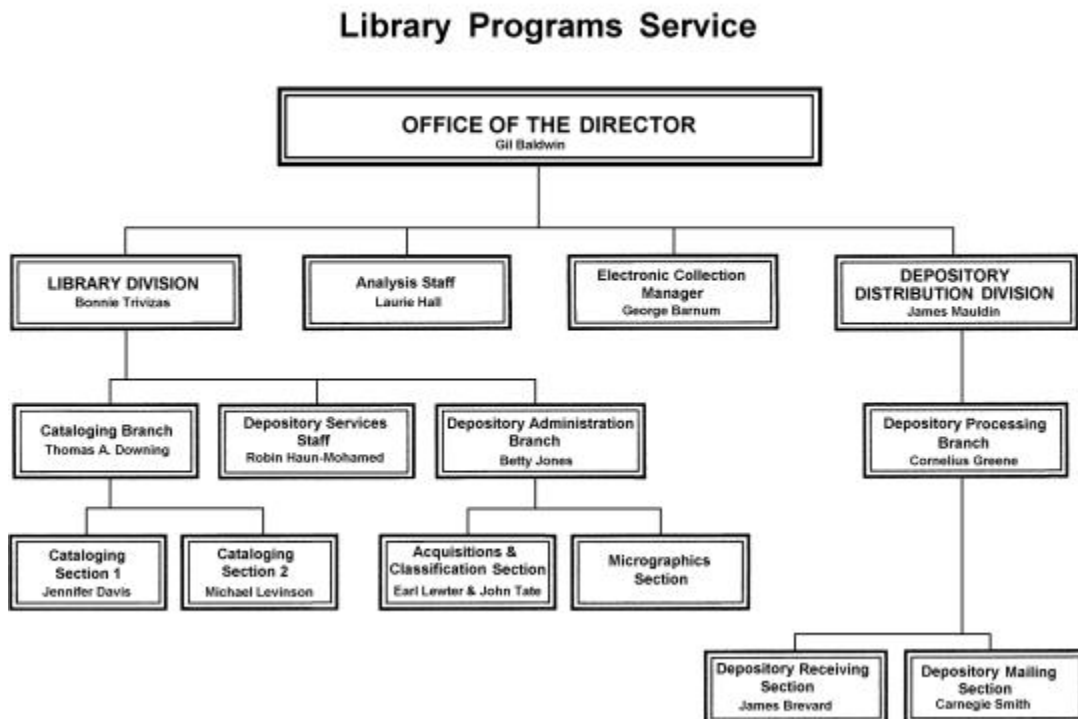
Summary

The transition to a predominantly electronic FDLP, begun in 1996 at the direction of Congress, continued throughout FY2002. The mix of product formats distributed to libraries or made directly accessible to the public stabilized at the FY2001 level, with about 60% of new FDLP titles being available online. However, behind the scenes, LPS made significant progress in revamping its workforce to deal with the challenges of electronic information and moving toward the acquisition of an Integrated Library System (ILS). Long recognized as the national authority for cataloging Government publications, LPS is also gaining recognition as a center of excellence in other aspects of managing an electronic collection for permanent public access. LPS' management of the FDLP Electronic Collection was notable in FY2002 for expanded use of the GPO archive servers and our participation in the beta test phase of the OCLC Web Document Digital Archive initiative. FY2002 also saw multiple instances of FDLP resources being withdrawn or otherwise made unavailable to the public. Security concerns caused product withdrawals and Website "scrubbing," and other actions, including court-directed Web site closures, resulted in previously public information becoming unavailable.

LPS Highlights for 2002

- LPS staff rebuilding
- Archiving digital resources
- ILS procurement progress
- New promotional campaign for the FDLP
- Email announcement service launched
- Shrinking number of FDLP libraries
- Some FDLP information made unavailable to the public

Organizational Overview



The **Office of the Director** consists of 12 full-time equivalent employees (FTE), including the LPS Director, secretary, Electronic Collection Manager, and the LPS Analysis Staff. Functionally, this office:

- Administers the Federal Depository Library Program (FDLP), and the Cataloging and Indexing Program.
- Arranges content and service partnerships with external organizations, including libraries, Government agencies, and private sector entities.
- Manages the FDLP Electronic Collection to ensure permanent public access to electronic Government information products.
- Manages overall directions for LPS automated systems.
- Advises upper management on program legislative and policy issues.
- Oversees service-wide planning and budget development.

- Develops and operates LPS Web applications.
- Responds to external inquiries.

The **Library Division**, under the general oversight of the Division Chief, consists of three organizations: the Depository Services Staff, the Cataloging Branch and the Depository Administration Branch. The **Depository Services Staff**, with 1 supervisory and 5 non-supervisory FTE, is responsible for:

- Inspecting depository libraries for compliance with the law.
- Reviewing library self-studies and reporting results.
- Designating new depository libraries.
- Terminating the status of libraries leaving the FDLP.
- Organizing continuing education and training events, including the Federal Depository Conference, the Interagency Depository Seminar, and meetings of the Depository Library Council to the Public Printer.
- Publishing administrative publications and newsletters, including Administrative Notes, the Federal Depository Library Manual, and the Instructions to Depository Libraries.
- Conducting the mandatory Biennial Survey of Depository Libraries and reporting results.
- Responding to external inquiries.

The **Cataloging Branch**, with 3 supervisory and 22 non-supervisory FTE, is responsible for:

- Cataloging U.S. Government publications in all formats in accordance with national standards.
- Building the Federal Depository Library Program Electronic Collection by discovering, classifying, cataloging, and archiving online publications.
- Participating as a full member with all of the national level cooperative cataloging programs.
- Developing and publishing GPO Cataloging Guidelines and related policies.
- Producing Web and print versions of the Monthly Catalog of U.S. Government Publications.
- Producing the U.S. Congressional Serial Set Catalog.
- Responding to external inquiries.

The **Depository Administration Branch**, with 3 supervisory and 30 non-supervisory FTE, consists of the Acquisitions and Classification Section and the Micrographics Section. The DAB staff is responsible for:

- Acquiring U.S. Government publications in all formats.
- Classifying U.S. Government publications in all formats.
- Preparing Daily Depository Shipping Lists.

- Following up on fugitive publication notifications.
- Managing contracts for the preparation and distribution of microfiche.
- Managing libraries' selection profiles.
- Responding to external inquiries.

The **Depository Distribution Division**, with 4 supervisory and 31 non-supervisory FTE, consists of three units, and is responsible for:

Distributing tangible products to FDLP and International Exchange Program (IES) libraries.

The **Depository Receiving Section** is responsible for:

- Receiving Government publications in all formats from issuing agencies.
- Determining if correct quantity of stock was received.
- Making up daily depository shipping boxes.

The **Depository Processing Branch** is responsible for:

- Performing stock control.
- Preparing shipment boxes from library selection profile data.
- Processing the shipment boxes via the Automated Depository Distribution System (ADDS).
- Fulfilling claims for missing publications.
- Monitoring shipments for timely and cost-effective delivery.
- Distributing International Exchange Program publications for the Library of Congress.
- Responding to external inquiries.

The **Depository Mailing Section** is responsible for:

- Preparing shipment boxes for mailings.
- Metering mail.
- Creating depository library mailing labels.

Program Legal Authority

The enabling legislation for the programs administered by LPS is included in Title 44 of the United States Code (USC), Public Printing and Documents. Specifically, the cataloging program is authorized in Sections 1710 and 1711, the FDLP is covered in chapter 19, and the authority for electronic dissemination, locator services, and digital archiving is in Chapter 41.

LPS Staff Developments

LPS' unprecedented personnel turnover in FY2001 led to yearlong efforts in FY2002 to fill vacancies and to rebuild the staff to better meet the challenges of electronic information delivery. Among LPS' new hires were library inspectors, catalogers, program analysts, distribution staff, and replacement supervisory personnel.

As attrition occurs in positions that deal primarily with processing physical products, some of those FTEs are reallocated to positions that emphasize the management of electronic resources, services to libraries, collection development, cataloging, and locator tools. New LPS positions in FY2002 include:

- Catalogers, who will be primarily engaged in identifying, describing, and archiving online resources in the FDLP, and
- An additional librarian in the Depository Administration Branch, who will focus on collection-building activities.

FDLP Publication Dissemination

Government publications are generally furnished to Federal depository libraries solely in online electronic format. SOD 71, the "Dissemination/Distribution Policy for the FDLP" guides format changes for many publications from print to online dissemination. New and existing products are checked to see if they are available online. If so, and unless certain criteria or circumstances exist, LPS changes the depository dissemination to electronic only. The 43 publications on the list of "Essential Titles for Public Use in Paper Format" will be distributed in paper as long as the agency publishes them in ink-on-paper format.

Table 1. Distribution of FDLP publications

Media	FY 2001 Titles	FY 2002 Titles
Online (GPO Access)	15,235	10,931
Online (other agency sites)	7,630	9,654
Paper (includes USGS maps)	9,522	8,307
Microfiche	4,726	5,525
CD-ROM, DVD	480	483
Total	37,593	34,900

Cataloging: Gateway to the E-FDLP

With the advent of a more electronic FDLP, the LPS cataloging staff has expanded the range of its cataloging and locator services efforts, and moved beyond the traditional Monthly Catalog as its principal output. Cataloging now also functions as a gateway for bringing online titles into the FDLP Electronic Collection, and then for disseminating

them under the program's auspices. The Cataloging and Indexing Program provides access to online, as well as tangible, resources through bibliographic control.

LPS catalogers discover, evaluate, select, and archive most online resources, in addition to creating bibliographic records that enable the public to search for, identify, and obtain access to all program publications. Locating and describing online resources for the FDLP has significantly broadened the range of decision-making required of the cataloging staff. Catalogers now play a critical role in enhancing current and permanent public access to the FDLP Electronic Collection.

Table 2. Titles Cataloged

FY 2001	FY 2002
15,364	13,857

The loss of experienced cataloging staff in the past two years, coupled with the increasing complexity of the work, has had a marked impact on cataloging production.

During the past twelve months, nearly 50 candidates have been considered for cataloging positions. Seven persons have been hired. Thirty-one candidates (as of 9/19/02) have declined interviews, declined further consideration, or declined appointments that have been offered to them. Five cataloging vacancies remain to be filled, and the recruiting process continues.

In addition, both of the first line supervisors were newly hired in FY2002. This turnover has created a need for training and orienting new staff. Training that was carried out in a one-on-one mode has been transformed to a combination of classroom instruction and practical application.

Federal Depository Libraries

There are two types of depository libraries: regional and selective. The 52 regional depositories, roughly distributed one per state, receive copies of every physical title disseminated by LPS, and maintain those copies in perpetuity. Regional depositories serve as "field offices" in the FDLP, backing up the other depositories in their service area to answer inquiries, supply copies of desired publications, and provide advice and expertise on depository operations. As authorized by 44 U.S.C. 1912, U.S. Senators designate regional depositories.

The 1,248 selective depositories choose the kinds of publications they wish to receive based upon the needs of their local constituencies. A selective library must retain the publications selected for a minimum of five years, and may then dispose of those publications, subject to the statutory requirements and the directions of their regional. Up to two selective depositories in each Congressional district are designated by the U.S. Representative, while several types, such as law school and court libraries, are established by specific language in Title 44 Chapter 19.

The number of depository libraries continues to decline, with 19 selective depository libraries leaving the system in FY2002. In most cases this occurred with no advance notification to LPS that relinquishing status was under consideration. Regional depositories are also reconsidering their status. In September, the Wisconsin Historical Society, a regional depository, relinquished its status. Other regionals are considering becoming selectives.

This is a serious situation that in the short term impairs public access at the local level. In the longer term it may erode political support for the FDLP. LPS has conducted several discussions intended to identify the cause of libraries leaving the program. One of the principal reasons expressed is that so much information is now available on the Internet that the traditional program paradigm of GPO providing free publications to libraries in a *de facto* exchange for maintaining the collections and serving the general public has broken down.

LPS is moving toward approval of electronic-only depository library collections, meaning that a depository library may select only those items made available in online format and still maintain its status in the FDLP. Nothing in the statute or practice categorically precludes such a selection profile once a depository library has been established. LPS is working with several institutions to develop an evaluative framework to ascertain that the needs of the immediate user community and the Congressional district are adequately met, and that a depository which establishes an all-electronic item selection is able to be evaluated in the Biennial Survey, self-study, and inspection on an equal and fair footing with a traditional depository. The pilot project is expected to begin in fall 2002, with staff from the University of Arizona Library, the University of Arizona School of Information Resources and Library Science, and the Library Programs Service working together to develop plans to implement and evaluate the one-year project.

Table 3. Depository Library System Operations

	FY 2001	FY 2002
FDLP libraries	1,313	1,297
New depository designations	3	2
Libraries leaving the FDLP	18	19
Libraries placed on probation	1	1
Libraries inspected	36	44
Self-studies evaluated	96	114

Information Withdrawn from the FDLP

In the aftermath of the September 11 attacks, several agencies reviewed their public information from the perspective of a heightened need for national security. This resulted in the withdrawal of some information products previously in the FDLP.

The Superintendent of Documents is the GPO official who by law is responsible for the operation of the FDLP, under which the GPO distributes copies of Federal publications to designated libraries for the use of the public. Under the FDLP, the Government may request the removal of materials from depository libraries, since the law (chapter 19 of Title 44) indicates that all FDLP materials remain Government property. Requests to withdraw happen rarely, however. Since FY 1995, the GPO has distributed 230,019 tangible (print, microfiche, and CD-ROM) product titles to depository libraries, and recalled just 20 (16 to be destroyed, 3 returned to the agency, 1 removed from shelves). Such actions are taken only on the request of the issuing agency, most commonly because the titles contain information that is erroneous or has been superseded. The Superintendent of Documents has no statutory ability to deny agency document withdrawal requests, but instead serves as the statutory conduit for carrying them out. Prior to initiating any withdrawal request, the Superintendent of Documents' policy is to carefully review each request and ensure that all such requests to GPO are made in writing.

During FY2002, information withdrawals have been widely discussed and debated in the library community, in a sense reflecting the larger public dialog over the issues of homeland security. Several other situations have affected LPS and the FDLP:

- Ongoing discussions with the Nuclear Regulatory Commission (NRC) whether or not any NRC titles might be withdrawn. To date, the NRC has made no requests of GPO to withdraw any depository title.
- Several of the Department of Energy laboratories have removed technical reports deemed to be sensitive from their Web sites. This action reduced the size of the FDLP Electronic Collection by nearly 6,000 titles.
- A single General Accounting Office report, entitled *Brady Act Instant Background Check Is Not Applicable to Antique Firearms* was removed from GPO Access at GAO's request.
- Several Interior Department Web sites were unavailable for varying periods following a judge's order concerning the security of Indian Trust Fund data.
- *PubSCIENCE*, an online index to scientific journal literature sponsored by the Energy Department's Office of Scientific and Technical Information and GPO was withdrawn from public use after intense industry criticism that the product unfairly competed with private sector offerings.
- The most contentious situation from GPO's perspective involved the request to Federal depository libraries to withdraw and destroy their depository copies of a USGS CD-ROM entitled *Source Area Characteristics of Large Public Surface-Water Supplies in the Conterminous United States: An Information Resource for Source-Water Assessment, 1999*.

The Superintendent of Documents' request followed established policy for the withdrawal of documents from the FDLP. This policy, Agency Request to Withdraw Information Products from Superintendent of Documents Programs, is known internally as SoD 72.

GPO takes very seriously any Federal agency's request to restrict access to Government information that has been made public. However, the GPO also has a duty under the law to cooperate with Federal agencies in the appropriate distribution of the official information they publish. Since the September 11 attacks, the USGS CD-ROM is the only document that the Superintendent of Documents has requested to be withdrawn from depository libraries. Any future agency withdrawal requests will be handled in accordance with law and established policy.

New FDLP Promotional Campaign

Recently, a GPO working group led by the Chief of the Program Awareness Office, with representation from LPS and the Office of Electronic Information Dissemination Services (EIDS), developed a marketing strategy to increase awareness of the FDLP among various constituencies. The revised marketing plan features the theme "*U.S. Government Information: Make the Connection at a Federal Depository Library.*"

This campaign recognizes that diverse constituencies may be unaware of the Program's contributions and benefits. In light of recent trends that include more information offered online and a decline in the number of depository libraries nationally, increased promotional and marketing efforts are vital. GPO's efforts, while aimed primarily at the various constituencies in the library community (administrators, reference staff, and bibliographers), also reach out to faculty, students, business, government, and the general public.

In addition to developing new marketing materials for librarians to use, GPO has taken an active role in promoting the FDLP. LPS purchased the services of the North American Precis Syndicate (NAPS), who provides information about the FDLP to daily and weekly newspapers and radio stations across the country as Public Service Announcements. One and two-column filler pieces and a radio spot were developed for distribution to these media outlets. With the campaign still in its early stages, the pieces have already seen much use by the media with a wide range of audiences.

During the first month, the radio spot was broadcast at least 188 times on 85 radio stations in 40 different states, which cumulatively serve 3,280,224 listeners. Of those broadcasts, 50% were in the top 50 markets and include the listening areas of New York, Chicago, Philadelphia, Boston, Detroit, Atlanta, Seattle, San Antonio, and Las Vegas. One hundred and twelve were in the top 100 markets. During the same time frame, the one-column ad that uses the new campaign graphic generated 276 known newspaper articles in 20 different states with a readership of 10,000,576. This release has had 44 placements in the top 50 markets, 220 in the top 100 markets and 276 in the top 300 markets.

Librarians may request new posters, bookmarks, brochures, ads and other FDLP promotional materials from the FDLP Desktop Web site at http://www.access.gpo.gov/su_docs/fdlp/pr/order.html.

Email Announcement Service

Recently LPS initiated the FDLP Announcement Service to provide depository libraries with time-sensitive FDLP information. Through this free email service, LPS is providing depository libraries with timely announcements relating to the program. The FDLP Announcement Service was created in response to years of suggestions that LPS and the FDLP should have an "official" email communication channel for program announcements, instead of using one or more of the several discussion lists. Initially, LPS continues to post the same announcements to discussion lists such as GOVDOC-L and DocTech-L, but ultimately the FDLP Announcement Service will be the sole email source for these notices. As of 9/20/02 there were 761 subscribers to the list.

Digital Archiving

GPO guarantees the public will have permanent access to the online titles in the FDLP, in similar fashion to the assurance that physical products in the FDLP will be permanently accessible at the regional depository libraries. Permanent public access for online electronic files entails an organizational commitment to preserving and maintaining the data, beginning with capturing the non-GPO Access content, and including refreshing files to prevent deterioration of storage media, migrating files to newer file formats to prevent technological obsolescence, managing backup and mirror sites, and other ongoing activities. GPO's responsibilities for permanent public access are described in LPS' 1998 report *Managing the FDLP Electronic Collection: A Policy and Planning Document* http://www.access.gpo.gov/su_docs/fdlp/pubs/ecplan.html.

LPS has thus far pursued three approaches to providing permanent public access:

1. Digital archiving using partner sites, through contractual partnership agreements with depository libraries and/or publishing agencies.
2. Digital archiving on GPO servers.
3. Developing a processing "tool kit" of software for archiving digital objects, and an off-site archival storage capability with the Online Computer Library Center, Inc. (OCLC).

Presently all three of these approaches are underway. LPS' own archive of electronic publications provides a first level of security for agency publications that are primarily textual or images of text, and which have no tangible counterpart in the FDLP. Information about the operation of the FDLP/EC Archive can be found at www.gpo.gov/ppa/resources.html.

LPS staff routinely downloads copies of online titles for which there are no analogous print versions in the FDLP. These files are eventually stored on GPO's archive server, as a security measure. Their active use begins only when the original agency version is no

longer available. As of August, there are approximately 4750 titles stored in the archive server, with 77 archived titles being served up to users.

GPO and OCLC, Inc. have completed the first phases of testing of a system to locate, identify, process, describe, and archive electronic publications. The Web Document Digital Archive Pilot Project includes several other partners, including the state libraries of Connecticut, Michigan, Arizona, and Ohio, and the University of Edinburgh in Scotland. The system incorporates a mix of new and existing solutions in an effort to refine and integrate LPS workflow and routines for processing and storing e-titles for the long term.

GPO is a full partner in this project, and staff has worked closely with OCLC, providing input in the development process. LPS' Director and Electronic Collection Manager were instrumental in conceptualizing this project, convincing OCLC of the value and importance of digital archiving, and in prototyping the features and the user interface. The resulting product, while initially a reflection of GPO's high-level requirements for an archiving system, is making a significant contribution to the ability of libraries worldwide to manage and expand access to digital resources.

As an outgrowth of the digital archive project, GPO is a charter member of the OCLC Digital and Preservation Cooperative, which will advance research and development of digital preservation and archiving solutions for libraries worldwide.

Partnerships

A guiding principle of LPS' transition efforts has been that a system of shared responsibility for building capacity, storing, disseminating, and preserving Government information will produce the greatest benefit in return for resources invested. The goal of establishing partnerships with agencies, depository libraries, and other organizations builds on the successful model of the FDLP sharing responsibility for access and preservation.

Partnerships have taken various forms. Six libraries provide services or tools for locating Government information or managing depository library collections. In 2002, responsibility for one of GPO's original Pathway locators, Browse Topics, passed to new management at Oklahoma State University.

Nine partners manage content with specific permanent public access safeguards contractually defined. Among these are depository libraries including: the University of Illinois at Chicago, which hosts Department of State material; Indiana University, which hosts an online server of publications previously distributed in the FDLP on unstable floppy disk media, and the University of North Texas, which houses the Cybercemetery, a site which collects and preserves the web sites of Government agencies and commissions that have ceased operation. In the past year the Cybercemetery has been averaging 510,160 hits per month. Several Government agencies, including the National Renewable Energy Laboratory and the National Library of Medicine, maintain agreements through which GPO is assured that web content will be maintained on agency

servers permanently, thus relieving GPO of the burden of capturing and archiving their content.

In late 2002, a content partnership between the U.S. Census Bureau, GPO, and the Case Western Reserve University Libraries (CWRU) was begun. CWRU will operate a site specifically geared to depository libraries offering the 2000 Census Summary Files for download by File Transfer Protocol (ftp).

Integrated Library System

In the fiscal year 2002 appropriation, GPO received general approval from Congress to acquire a commercial off-the-shelf Integrated Library System (ILS). LPS will use the ILS to support cataloging, classification, acquisitions, serial check-in, preparation work for format conversion contracts, library selection and address information, and to provide distribution information to the Automated Depository Distribution System. The ILS public catalog interface will offer enhanced information identification and location capabilities to all users. Depository library staff will, for the first time, have direct access to the processing and product status information that is the bulk of their inquiries to LPS.

Two important milestones in the acquisition process have taken place this fiscal year:

- LPS obtained spending approval from the Joint Committee on Printing for the ILS.
- GPO has contracted and begun work with a library automation consulting firm, RMG, Inc., of Chicago, IL, to analyze functional requirements, review available systems for "fit" with those requirements, and recommend the best system to meet LPS' needs.

Participation in Outreach and Continuing Education

10/01 - Federal Depository Conference (10th annual)/Fall Depository Library Council Meeting. In addition to planning and sponsoring these meetings, LPS staff did several content presentations. The Conference proceedings are online at http://www.access.gpo.gov/su_docs/fdlp/pubs/proceedings/01pro.html.

- LPS' Director met with the directors and documents coordinators of the Federal depository libraries in Maine, Hew Hampshire and Vermont, to discuss the future of the FDLP, with special emphasis on role of the regional depository libraries.

11/01 - Presentation on digital archiving projects at the Coalition for Networked Information annual meeting.

12/01 - University of Maryland regional depository library session for MD/DC/DE depositories.

1/02 - American Library Association Midwinter Meeting, New Orleans, LA, with multiple presentations at the Government Documents Round Table (GODORT) sessions.

2/02 - Courtesy visit to the Newburgh Free [Public] Library, Newburgh, NY.

- Courtesy visits for West Virginia Regional and selective library focusing on electronic-only resources.

3/02 - Attendance at Public Library Association Conference; met with Arizona library staff in the Phoenix area and with the University of Arizona staff for discussion of a virtual collection pilot project.

4/02 - Depository Library Council to the Public Printer, Mobile, AL. LPS coordinates these meetings and makes multiple content presentations.

5/02 - Regional Depository Library Meeting, Minneapolis, MN.

- Regional Depository Library Meeting, VA.

- Regional Depository Library Meeting, IL

6/02 - Interagency Depository Seminar, an LPS-sponsored training event for depository library staff.

- American Library Association Annual Conference, Atlanta, GA, with multiple presentations at GODORT sessions.

7/02 - American Association of Law Librarians, in Orlando, FL. Update on GPO's appropriation, FDLP operations, and the cooperative efforts to locate fugitive documents.

8/02 - Los Angeles, CA, Depository Library Meeting. Self-Study/Inspection Preparation presentation.

9/02 - Regional Depository Library Meeting, College Park, MD.

- Announce awarding of CEU (Continuing Education Units) to participants in LPS programs, beginning with Federal Depository Library Conference in October 2002.

- Rotary Club meeting, College Park, MD