PLANNING FOR CHANGES IN GOVERNMENT INFORMATION

Report of the GILs Task Force
April 18, 2006
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Executive Summary

Introduction

Government information continues to be an important component of a research library, perhaps even more so today in the electronic environment. The UC/Stanford Government Information Librarians (GILs) have collectively been building these research-level collections for decades and, as government information transitions to electronic format we envision opportunities to enhance cooperative collection development, access, and service to government information.

The shift to a fully electronic Federal depository library program began before 1993 and gained momentum with the passage of the Government Printing Office Electronic Information Access Enhancement Act (PL 103-40). Steady changes have occurred over the past 13 years. The GPO states that “95% of the new titles coming into the [Federal Depository Library] program are disseminated online, whether or not they are also distributed in tangible form.”* GILs have built upon their strong history of collaboration and have collectively monitored the trends, adapted to incremental and substantive changes, and developed collaborative projects to take advantage of a fully electronic depository collection. This collaboration is necessary to continue to select, shape, and manage substantial collections of government resources that meet the local research needs of each campus.

In November 2005, the UC Collection Development Committee (CDC) charged the UC GILs group “to assess the impact of this changed environment and to recommend pragmatic steps needed to move forward in providing primarily electronic government information to UC patrons.” The far-reaching strategic plan by the Government Printing Office mentioned in the charge will be complemented by an equally far-reaching vision document being drafted by the Depository Library Council to the Public Printer [http://www.access.gpo.gov/su_docs/fdlp/council/dlc_vision_doc31506.pdf]. The Council coordinated a free-flowing discussion of the future of Federal Depository Libraries which was attended by several UC government information librarians. Recent (and future) Depository Library Conferences, the ARL workshops on the Future of Government Information in Academic Libraries, and the CDL workshop on government information provided venues for discussing changes in Federal government information in libraries with colleagues.

A committee was formed of UC GILs members interested in working on this project. Six small working groups were created. One was charged to address the questions: What does it mean to be a federal depository library when the vast majority of information is in electronic form? What advantages will there be to maintaining depository status? The remaining working groups were charged to assess the current environment, impacts and challenges, and collaborative projects, and the opportunities these presented; and to propose actions the UC libraries need to take in the next one to two years to successfully address changes in federal government information in the areas of:

- Technical processing
- Access and services for patrons
- Training/expertise needed to manage the collections
- Preservation of digital government information (born digital and digitized)
- Feasibility of shared print projects

This report is the result of the work of these committees. It is on the agenda for discussion at the UC/S GILs meeting on May 11th after which a timeline for addressing needed actions and priorities for the other government collections will be provided.

Issues in Federal Government Information and Depository Libraries for the UC

The UC has developed, organized, housed, maintained, and provided access to a wealth of research-level collections of government information. There is an ongoing need by the University’s primary clientele as well as the community to effectively access these collections, those in print and other tangible formats as well as in electronic formats via the web. The following summarize the major issues that are being discussed and monitored:

- **Roles for federal depository libraries in the non-exclusive environment are changing**
  - The method of access to government information is changing with broad Internet access, but the service commitment remains.
  - Access to federal government information is no longer dependent upon federal depository libraries and their specific holdings.
  - The Internet may be the preferred vehicle for discovering government information, but users still want to read lengthy documents in print.
  - Expertise and knowledge of government information needs to be maintained to provide services and to manage both virtual and tangible collections of government information in the UC libraries.
  - Ensuring continued free and equitable access to all users.

- **Managing collections and delivering content are in transition**
  - We recognize the continued need to select, shape and manage government resources to match local and shared collection needs of the researcher.

  **RECOMMENDATION:**
  Continue to build strong research level government information collections, which include the selection of significant tangible material and maximize the access to electronic documents. These acquisitions will be done through depository and non-depository avenues.

- **Deploying expertise**
  - Providing reference assistance for government documents and maintaining collections expertise is a core responsibility of government information librarians. Separate government publications service desks are an exception rather than the norm in UC libraries, which presents opportunities to integrate government information into reference responses, collaborate with other subject specialists in developing guides and web pages, providing instruction sessions that integrate government information, and liaison with faculty particularly in departments where government information is critical such as history, political science, law and economics.

  **RECOMMENDATION:**
  Build on GILs’ collaborative history to deploy expertise with services such as virtual reference, web presence, and localized knowledge bases among government information librarians. Develop government information expertise and collaborative public services among other public service librarians.

- **Preservation**
  - UC Libraries need to identify key government information resources and provide permanent access to government information in the current environment of increased dissemination of information in electronic format. We must use and develop methods and resources to fulfill our research mission to build, preserve and provide access to these collections, and not solely rely on third parties to build and provide access to these crucial collections.

  **RECOMMENDATION:**
  Investigate collaborating with the California State Library in its preservation of state documents in the OCLC Digital Archive to explore the creation of an integrated federal, state, and local government digital publications archive at UC. Utilize the UC Digital Repository to preserve government information materials.
Investigate the UC/Yahoo! Open Content Alliance partnership and investigate how to incorporate access to full-text content of government information.

- **Adding Value: Technical Processes**
  - UC libraries add value with bibliographic control for local needs.

  **RECOMMENDATION:**
  Utilize shared bibliographic records.

- **Feasibility of Shared Print Projects**
  - The UC Libraries have invested significant resources into developing substantial collections of government resources; maintaining an historic collection as complete as possible is essential to meeting campus research needs.

  **RECOMMENDATION:**
  Determine that persistence in the RLFs is sufficient for a shared collection.
1 Federal Depository Status

1.1 What Does It Mean to Be a Federal Depository Library in the Electronic Environment?

1.1.1 Current environment

The transition to a fully electronic Federal depository library program began before 1993 and gained momentum with the passage of the Government Printing Office Electronic Information Access Enhancement Act (PL 103-40). Steady changes have occurred over the past 13 years. UC government information librarians have monitored the trends, adapted to incremental and substantive changes, and developed collaborative projects to take advantage of a fully electronic depository collection. The present rapid transition pace may seem alarming, but in reflection, we can see how far we have come in the past decade.

The far-reaching strategic plan by the Government Printing Office mentioned in the charge on planning for changes in government information from the UC Collection Development Committee will be complemented by an equally far-reaching vision document being drafted by the Depository Library Council to the Public Printer. The Council coordinated a free-flowing discussion of the future of Federal Depository Libraries which was attended by several UC government information librarians. Recent (and future) Depository Library Conferences, the ARL workshops on the Future of Government Information in Academic Libraries, and the CDL workshop on government information provided venues for discussing changes in Federal government information in libraries with colleagues.

1.1.2 Issues in federal government information and depository libraries for the UC

UC’s government information collections and services are changing and the role of government information is also in transition. The issues that we are monitoring include, but are not limited to the following.

- Roles for federal depository libraries in the non-exclusive environment are changing
  - The method of access to government information is changing with broad Internet access, but the service commitment remains.
  - Access to federal government information is no longer dependent upon federal depository libraries and their specific holdings.
  - The Internet may be the preferred vehicle for discovering government information, but users still want to read lengthy documents in print.
  - Expertise and knowledge of government information needs to be maintained to provide services and to manage both virtual and tangible collections of government information in the UC libraries.
  - Ensuring continued free and equitable access to all users.

- Managing collections and delivering content are in transition
  - We recognize the continued need to select, shape and manage government resources to match local and shared collection needs of the researcher.
  - UC government information librarians are looking at new ways to acquire and manage content. For example, UC is represented in major project trials that explore the efficacy of capturing digital content, eg., Web-at-Risk, an NDIIP funded grant; costs keep it from being comprehensive. Future projects could include participating in GPO trials to accept digital content and digitally deposited bibliographic records. Costs are in providing directed access to the captured material, i.e. sorting through and organizing crawled material, providing metadata, access points, and adding to catalogs.
  - UC government information collections are currently selecting print or other tangible (CD,DVD, microformat) materials needed at the local campus.
  - UC Government information collections select digital items as well and most libraries are loading all GPO catalog records for online documents that include an 856 field into local OPACs and into Melvyl.

RECOMMENDATION:
Continue to build strong research level government information collections, which include the selection of significant tangible material and maximize the access to electronic documents. These acquisitions will be done through depository and non-depository avenues.

- **Deploying expertise**
  - Providing reference assistance for government documents and maintaining collections expertise is a core responsibility of government information librarians. Separate government publications service desks are an exception rather than the norm in UC libraries, which presents opportunities to integrate government information into reference responses, collaborate with other subject specialists in developing guides and web pages, providing instruction sessions that integrate government information, and liaison with faculty particularly in departments where government information is critical such as history, political science, law and economics.
  - Although electronic government information is prevalent, it has little bibliographic control and specialized resources are needed to access specific government information: it is essential for academic libraries to provide expertise in locating and using government information at the research level, and to make documents expertise contact information available to all reference staff in a UC network.
  - UC government information librarians are in an excellent position to deploy expertise because the collaborative model is well established for government information within the UC system.
  - Building on collaboration could include: shared virtual reference, shared government information knowledge bases (for librarians), shared “new in government information” blogs, collaborative news updates via methods like RSS feeds, and collaboratively developed tutorials and web guides.
  - Challenge is that documents librarians are not always available at point of need for documents reference assistance; non-documents librarians are expected to recognize a government information question, and to provide reference and access to the material.

**RECOMMENDATION:**
Build on GILs’ collaborative history to deploy expertise with services such as virtual reference, web presence, and localized knowledge bases among government information librarians. Develop government information expertise and collaborative public services among other public service librarians.

- **Preservation**
  - UC Libraries need to identify key government information resources and provide permanent access to government information in the current environment of increased dissemination of information in electronic format. We must use and develop methods and resources to fulfill our research mission to build, preserve and provide access to these collections, and not solely rely on third parties to build and provide access to these crucial collections.

**RECOMMENDATION:**
Investigate collaborating with the California State Library in its preservation of state documents in the OCLC Digital Archive to explore the creation of an integrated federal, state, and local government digital publications archive at UC. Utilize the UC Digital Repository to preserve government information materials.

Investigate the UC/Yahoo! Open Content Alliance partnership and investigate how to incorporate access to full-text content of government information.

- **Adding value: technical processes**
  - UC libraries add value with bibliographic control, collection development for local needs, providing service expertise.

**RECOMMENDATION:**
Utilize shared bibliographic records.
**Feasibility of shared print projects**

- The UC Libraries have invested significant resources into developing substantial collections of government resources; maintaining an historic collection as complete as possible is essential to meeting campus research needs.

**RECOMMENDATION:**
Determine that persistence in the RLFs is sufficient for a shared collection.

### 1.1.3 Issues on our radar screens

- **Loss of Print**
  We remain concerned about the reduction of access to print government documents.

- **Authentic Versions of Digital Government Information**
  We are monitoring developments in authentication and version control of official, primary source U.S. government documents. Confidence in the reliability of government information and authenticity is key to confidence in online access to documents.

- **Digitization of U.S. Government Documents (legacy collections)**
  Monitor the development of national digital collections of U.S. government documents, and contribute unique materials when possible.

- **Collect “Born-Digital” Documents**
  Online only government information is disappearing, and particularly at risk are documents from U.S. regional agencies.

- **Build on the collaborative working relationship of the UC GILs group**

- **Maintain government information expertise**

### 1.1.4 What UC government information librarians need to meet the goals

In order to accomplish our work as Federal Depository and research Libraries, we will need:

- Continued support to engage in collaborative collection development and public services practices that enable each campus to focus on particular agencies, ensuring we have collected key documents for our collections and are able to provide access and service to the collections.

- Continued administrative funding for travel to training opportunities, e.g., Depository Library Conferences, FDLP Interagency Depository Seminar, Specialized Statistical and Data Workshops, Digital projects and preservation workshops, or support to host training opportunities regionally.

- Administrative support for collaborative work with related subject specialists to better integrate government information resources into related subject areas.

- Financial and technical support for digital projects.

- Technical support for shared knowledge bases and new technological projects.

- Tools to select, capture, curate, and preserve depository and non-depository materials, and space in the UC Digital Repository and additional servers where we can place digital government information and provide access to it for our users.

- Staffing to catalog or provide metadata for born digital materials and to locally archive materials.
1.2 Why Maintain Depository Status?

UC Libraries need to maintain depository status to continue to receive print and tangible documents and to help shape the role of U.S. government information in research libraries. Primary advantages to maintaining depository status:

1. **Research library collection building**
   - The Federal Depository Library Program has allowed UC libraries to build research level collections of primary source government publications and can continue to be a vehicle to build the tangible and digital collections.

2. **Print or other tangible documents**
   - GPO will continue to provide “essential” titles in print or other tangible format.
   - GPO is surveying depository librarians to help identify essential titles for print distribution.
   - Selection of print documents may include a “print on demand” program for Depository libraries.
   - GPO is committed to providing cataloging and/or metadata records for both tangible and digital documents.

3. **Digital content**
   - Depository libraries may be able to select digital content to load on their own servers. Depository libraries will be able to select digital content or digital records by agency or subagencies.
   - GPO is committed to providing cataloging and/or metadata records for both tangible and digital documents.
   - Bibliographic records as well as digital files may be “pushed” to depository libraries selecting digital format.

4. **Advocacy role**
   - University of California Librarians need to be part of the program as advocates for continuing free distribution of government information in usable formats.
   - Depository libraries have an opportunity to influence national information policy and to frame the program’s future.

5. **Collaborative opportunities**
   - Participation in the Federal Depository Library Program expands collaborative opportunities for collection building, digitization and services to the larger community of depository libraries.
   - UC government information librarians know that we cannot rely on the GPO for everything but we can maximize the benefits for depository libraries by building continuing collaborative discovery, collecting, and service relationships with other libraries.

**Legal requirements for libraries that withdraw from the Program**

Depository libraries do not “own” the documents received through the Federal Depository Library Program but rather “manage” them for the U.S. government. When depository status is relinquished, libraries can be required to deacquisition and dispose of the legacy collection.

“Documents distributed through the FDLP are, and remain, Government property. Depository libraries are entrusted with the maintenance of these materials while they are in the custody of the library. Depository libraries may discard these materials only in the manner prescribed by these Instructions or at the direction of a GPO official.” [Instructions to Depository Libraries, revised 2000, Chapter 4 Maintenance, C. Discards]
2 Developing and Managing Collections

2.1 Current environment

- The Federal Depository Library Program has been, and continues to be, a vehicle by which the UCs have built government information research collections.
- UC government information librarians are currently selecting print or other tangible (CD, DVD, microformat) materials of significance which continue to be essential at the local campus to meet research needs.
- UC government information librarians select digital items as well and most libraries are loading all GPO catalog records for online documents that include an 856 field into local OPACs and into Melvyl.

2.2 Challenges

- How to systematically select, capture, and manage government information in the electronic environment.
- How to integrate captured materials with other digital collections rather than build additional silos.

2.3 Collaborative projects

- UC government information librarians are looking at new ways to participate to collaboratively select, acquire, build, and manage digital collections, providing access to all. For example, UC is represented in major project trials that explore the efficacy of capturing digital content, e.g., Web-at-Risk, an NDIIP funded grant; costs keep it from being comprehensive. Future projects could include participating in GPO trials to accept digital content and digitally deposited bibliographic records. Costs are in providing directed access to the captured material, i.e., sorting through and organizing crawled material, providing metadata, access points, and adding to catalogs.

2.4 Proposed actions

**ACTION:**
Continue to build strong research level government information collections which include the selection of significant tangible material and maximize the access to electronic documents. These acquisitions will be done through depository and non-depository avenues.

**ACTION:**
Continue to manage existing tangible and electronic collections, improving their accessibility as necessary.

**ACTION:**
Share in the purchase of commercial databases that provide access to various forms of government information.

**ACTION:**
Develop collaborative collection policies to manage print collections and born digital content.

**ACTION:**
Address collaborative collection development needs and methods; develop guidelines and policies to monitor fugitive documents and specific agencies or groups of agencies.
3 Deploying Expertise

3.1 Access and Services for Patrons

3.1.1 Current environment

Although not all government publications are in electronic format, governmental agencies rely on electronic publishing: access to federal government information no longer is dependent upon federal depository libraries and their specific holdings. And, although electronic government information is prevalent, it has little bibliographic control and specialized resources are needed to access specific government information: it is essential for academic libraries to provide expertise in locating and using government information at the research level, and to make documents expertise contact information available to all reference staff in a UC network.*

3.1.2 Challenges

- Documents librarians are not always available at point of need for documents reference assistance; non-documents librarians are expected to recognize a government information question, and to provide reference and access to the material.
- Need for permanent access to government information in the current environment of increased dissemination of information in electronic format.
- Many documents in the UC collections are not cataloged; these need to be cataloged in order to provide access.
- Born digital government information is diffuse and available from all agencies websites and there isn’t a good single entry point for discovery.
- Ensuring continued free and equitable access to all users.
- Ensuring that the needs of our users are being met; are our users accessing the information needed?

3.1.3 Collaborative projects

Current

- UC government information librarians are in an excellent position to deploy expertise because the the collaborative model is well established for government information within the UC system.
- Promote the access, purchase (if necessary) and use of databases, which provide guided access to government material and will link to cataloged titles.

Upcoming

- Building on collaboration could include: shared virtual reference, shared government information knowledge bases (for librarians), shared “new in government information” blogs, collaborative news updates via methods like RSS feeds, and collaboratively developed tutorials and web guides. Expand collaborative efforts and communication between government information librarians and collection specialists and the faculty and grads in their respective departments (particularly in political science, economics, environmental science and history) for collection development and instruction.
- Provide, and guarantee future provision of, access to government information collections in print, digital or other format, and in any shared print collection.

• Market government information to users.
• Make use of GILs listserver to share complex reference questions.
• Assess the purpose and use for the UC Gateway to Government Information. Transform it to an online resource to meet some of the access needs/concerns.

3.1.4 Changes

<table>
<thead>
<tr>
<th>What will change?</th>
<th>How will it change?</th>
</tr>
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<tbody>
<tr>
<td>Finding government information on the open web within search results will be common, but users may have increased difficulty of locating and using specific government information or data.</td>
<td>Develop government information subject expertise; Link government information on the web to library’s holdings, or offer an ability to search for the material in an OPAC.</td>
</tr>
<tr>
<td>More patron use of online services/fewer walk-ins</td>
<td>Develop web-based assistance. Make presence of government information on web more prominent. Create specific government information web pages which stand alone or can be integrated with other subject web pages, such as those for history, economics and political science.</td>
</tr>
<tr>
<td>Preserve access for community members/affiliated members (ILL from RLFs, use of library computers and printers)</td>
<td>Examine and/or revise library policies to preserve access for community members</td>
</tr>
<tr>
<td>Requests for assistance from unaffiliated/community members who find library web pages in search engine results; locally and nationally</td>
<td>Develop policy/guidelines for assisting users outside Congressional district.</td>
</tr>
<tr>
<td>Requests to borrow material housed in RLFs as part of shared print collection, by unaffiliated/community members.</td>
<td>Develop UC-wide policy to preserve access for community members</td>
</tr>
</tbody>
</table>

3.1.5 Proposed actions

**ACTION:**
Make presence of government information on web more prominent. Create specific government information web pages which stand alone or can be integrated with other subject web pages, such as those for history, economics and political science. Integrate government information into other resources and services of the library: guides, web pages, reference, examples used, instruction sessions, tours, informational materials distributed publicly.

**ACTION:**
Link government information on the web to library's holdings, or offer an ability to search for the material in an OPAC.

**ACTION:**
Share professional knowledge and expertise with collaborative services like virtual reference, web presence, and localized knowledge bases.

**ACTION:**
Examine and/or revise library policies to preserve access for community members; develop policy/guidelines for assisting users outside Congressional district.

**ACTION:**
Discuss and explore participation in collective national government expertise network to provide reference service of government information.
3.2 Training/Expertise Needed to Manage the Collections

3.2.1 Current environment

Providing reference assistance for government documents and maintaining collections expertise is a core responsibility of government information librarians. Increased budgetary pressure on staff resources, migration of government information to the web, and a decline in the number of reference questions, has resulted in more libraries merging government information and reference desks. Libraries able to maintain separate reference desks are not immune from these issues as they must also contend with shrinking budgets, increased workload, and loss of expertise brought about by re-assignments and retirements. Furthermore, the electronic information environment has not replaced the user’s need for reference assistance. Nor has it reduced the challenge of securing ongoing training and development resources for both new and experienced government information librarians.

Librarian training, recruitment, retention, and impending retirements are key factors influencing the ability of libraries to continue to provide users with the assistance and expertise needed to efficiently utilize these valuable government information collections.

The combination of merged reference desks along with the availability of government information online provides the opportunity as well as the necessity to train reference librarians in the access and use of government information. Not limited to a single location, reference staff at any service area can provide knowledgeable access, if effectively trained in combination with availability of useful, helpful guides to resources.

3.2.2 Challenges

- Maintain government information as a librarian specialization with responsibilities for collection development, reference service training, and maintaining access to the collection, both electronic and tangible.
- Merged reference desks present challenges to maintaining expert reference service: continual training is essential.
- Government information has not generally been included in standard indexes; it is not generally incorporated in subject reference guides; there are specialized indexes for locating government information which non-GP librarians may not be familiar with.
- It is vital to balance both print and web documents, and develop ways to help both users and colleagues learn the many uses and idiosyncrasies of government information in all formats. Web-based documents and statistical publications can be problematic for patrons and librarians alike to use and understand.

3.2.3 Collaborative projects

Current
- Examples of Government Document Tutorials and web pages: [UC Gateway to Government Information](http://www.library.ucla.edu/ucgils/)

Upcoming
- Develop list of core competencies needed to manage collections, maintain access, and analyze and answer reference questions.
- Create “union list” of collection strengths, unique collections and librarian expertise necessary to provide new librarians, and non-depository librarians with options for reference assistance, training and mentoring.
- Develop government information expertise among other public service librarians: basic knowledge of the UC libraries government information holdings - cataloged and uncataloged; discovery tools
and databases; understanding of the structure of government and where to go to get government
information." Provide regular training.

- Example: How to Effectively Locate Government Information (UCSB)
  www.library.ucsb.edu/subjects/gov/intro.html

- Development of guides, web pages and training modules using a variety of formats: wiki, podcasts,
  webinars, etc. Share guides and tutorials nationally through the GODORT Handout Exchange.

- Collaboration between government information librarians and academic department librarian liaisons
  (bibliographers) and respective faculty in relevant areas, e.g., political science, history,
  environmental studies

- Make use of GILs listserv to share complex reference questions.

- Partner with GPO to develop and offer training modules, share expertise, and create guides to train
  staff new to government documents.

- Create a government information question listserv open to all reference librarians to help any
  reference staff answer their government document questions.

### 3.2.4 Changes

<table>
<thead>
<tr>
<th>What will change?</th>
<th>How will it change? (*potential action items)</th>
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</thead>
<tbody>
<tr>
<td>Ease of finding government information on the web within search results, combined with difficulty of locating and using specific government information: ref questions will be the more difficult ones</td>
<td>Develop/enhance government information subject expertise Ongoing training needs; develop and make use of tutorials</td>
</tr>
<tr>
<td>More patron use of online services/fewer walk-ins</td>
<td>Develop web-based assistance. Make presence of government information on web more prominent. Courses for using specialized software</td>
</tr>
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</table>

### 3.2.5 Proposed actions

**ACTION:**
Develop a framework of core competencies needed to sustain subject expertise

**ACTION:**
Develop government information expertise among other public service librarians; develop training modules for government information; share modules and tutorials; provide government information topics training to other reference librarians

**ACTION:**
Enhance GILs website with information about librarian areas of expertise

**ACTION:**
Create a shared Knowledge Base for government information. Incorporate current awareness tools such as public blogs and RSS feeds into a UC GILs web presence.

**ACTION:**
Instigate collaboration between government information librarians and academic department librarian liaisons (bibliographers) and respective faculty in relevant areas, e.g., political science, history, environmental studies

**ACTION:**
Investigate the creation of a government information question listserv open to all reference librarians to help any reference staff answer their government information questions; make use of GILs listserv to share complex reference questions.
4 Preservation of Government Information

4.1 Preservation of Born Digital Government Information

4.1.1 Current environment

GPO states “95% of the new titles coming into the [Federal Depository Library] program are disseminated online, whether or not they are also distributed in tangible form.” According to an August 2003 ARL Bimonthly Report 229, “two-thirds of the information resources in the FDLP are now available only electronically.”

As depository libraries and memory institutions, the UC Libraries are faced with a major dilemma in building and maintaining born digital government information collections at the research level. We no longer have the same ability to select, collect, manage and preserve born digital materials in the systematic way we could with tangible items. The digital environment is “relatively large, volatile and opaque”. The UC Libraries must find methods and resources to fulfill our research mission to build, preserve and provide access to these collections, and not solely rely on third parties to build and provide access to these crucial collections. Given the fleeting nature of born digital materials, it is key to be able to capture the information now, while long-term preservation methods are being developed.

4.1.2 Challenges

- Born digital government documents have short life spans and no “life-cycle”
- Born digital materials that do not get sent to GPO for distribution are not being systematically captured or digitally preserved.
- There is no policy or procedure in place that enables GPO to systematically capture or digitally preserve materials published on agency websites.
- Although GPO is storing “core legislative and regulatory publications” on its servers, they are not storing “publications identified, described, and linked to through GPO services, but which remain under the control of originating agencies;” PURLs point to the materials as they exist on an agency’s website. If the material is taken down, the PURL ceases to function; access to the material is lost.


In order to accomplish our work as Federal Depository and research Libraries, we will need:

- tools to select, capture, curate, and preserve depository and non-depository materials.
- tools and methods for capturing dynamically generated content from government agencies.
- space in the UC Digital Repository where we can place born digital government information and provide access to it for our users
- to develop a workflow for capturing and processing materials
- staff to catalog or provide metadata for born digital materials
- to receive metadata with digital objects from GPO and provide bibliographic access this material
- server space and staffing to locally archive materials
- to engage in collaborative collection development practices that enable each campus to focus on particular agencies, ensuring we have collected key documents for our collections
- to monitor projects like the CDL Web-at-Risk, GPO Web Harvesting Pilot Project, LOCKSS and LOCKSS DOCs, and utilize tools and processes that they develop.

The UC GILs members feel it is important to address these same issues at the state and local levels as well as international. The work we do at with federal documents will have direct impact for these materials. Unlike federal documents, at the state, local, foreign, international levels there isn’t any formal depository or distribution mechanism or agency to ensure that born digital materials are sent to libraries. Agencies place materials on their web site and feel their public distribution requirements have been met; even if depository laws exist, they do not have any mechanism for enforcement. Often these reports just disappear. Local agencies are especially apt to remove materials once they are no longer “time-relevant” or often reorganize their directory structures, making materials completely inaccessible.
4.1.3 Collaborative projects

- Web-based Government Information Project, a Mellon Funded Initiative (ended 2003, informed the CDL NDIIPP Grant)  

- California Digital Library NDIIPP Grant Project: Web At Risk  
  A 3 year grant project to develop web archiving tools that will be used by libraries to capture, curate, and preserve collections of web-based government and political information.

- CyberCemetery  
  [http://govinfo.library.unt.edu/default.htm](http://govinfo.library.unt.edu/default.htm)  
  Provides permanent public access to the Web sites and publications of defunct U.S. government agencies and commissions.

- Internet Archive/Wayback Machine  
  Access to crawled content of the Internet Archive from 1996 to current.

- GPO Future Digital System  

- GPO Future Digital System Blog  
  [http://fdsys.blogspot.com/](http://fdsys.blogspot.com/)

- GPO LOCKSS Pilot Project  
  [http://www.access.gpo.gov/su_docs/fdlp/lockss/](http://www.access.gpo.gov/su_docs/fdlp/lockss/)  
  LOCKSS is an open source, peer-to-peer software that functions as a persistent access preservation system. The Pilot Project will investigate using LOCKSS as a means to manage, disseminate, and preserve access to Web-based Federal Government e-journals that are within the scope of the FDLP and the IES.

- Capturing Electronic Government Information  
  [http://www.cyberdriveillinois.com/departments/library/who_we_are/cep.html](http://www.cyberdriveillinois.com/departments/library/who_we_are/cep.html)  
  The project goal is to demonstrate a national model and provide the tools for online state document capture and preservation.

- Arizona Model for Web Preservation and Access  

- GPO Web Harvesting Pilot Project (Feb 2006, Contract to two vendors to conduct pilot project to do 3 crawls of the EPA web site during a 6 month period.)

4.1.4 Changes

- Users will increasingly access materials via the web using search engines; they may not be able to find these materials systematically.

- Increase in materials accessible via the OPAC.

- Cataloging for federal government information can be centralized, especially if we utilize Marcive’s Documents without Shelves service or to take on digital deposit from GPO.

- The BSTF recommendations affect

- We will have to budget for maintenance and migration of born digital materials that we may host locally or systemwide.

- Staff with technical skills to manage digital preservation, archiving, etc.

- Digital preservation technology and standards will continue to evolve.

- CDL Web at Risk project will be completed in 2007. We will have tools to help us capture LOCKSS projects show us how a stable persistent access preservation system will work for government information serials.

4.1.5 Proposed actions

**ACTION:**
Starting as early as July 2006, libraries will be able to utilize the Web-at-Risk project tools to harvest websites.

**ACTION:**
Survey campuses to determine if they are doing any local harvesting and archiving of born digital government information. Find out where expertise exists.

**ACTION:**
Investigate collaborating with the California State Library in its preservation of state documents in the OCLC Digital Archive to explore the creation of an integrated federal, state, and local government digital publications archive at UC.
ACTION:
Utilize the UC Digital Repository to preserve government information materials. Items will be downloaded to the preservation repository and the SCP PID server can record the URL; at any point when the agency URL did not work, the PID could link to the repository URL.

ACTION:
Via UC-GILs listserv, determine if there is UC-wide interest in investigating the tools being used by the Arizona State Library and Archives? See Richard Pearce Moses’ PowerPoint (http://www.lib.az.us/diggovt/azmodel/AzModel.pdf)

4.2 Digitization of Legacy Collections

4.2.1 Current environment

The federal government has been publishing and disseminating materials in print for over 200 years. Depository libraries maintain a wealth of historical material in print formats, called “legacy collections”. The UCs and many depository libraries have been focusing on volatile born digital materials, but many in the community as well as private publishers have turned their attention to digitization projects of the legacy collections.

Digitization projects increase awareness and ease of access to these collections. However, digitization projects can be costly, requiring access to equipment, technology, and personnel to plan, scan, organize and create metadata and access to the digitized materials. Depending on these costs, though, digitization could potentially offset the cost to maintain copies on all campuses by having a digitized and stored print copy.

Digitization projects can be selective; focus on a particular agency, a set of materials produced by an agency, or on a specific title. The UC Libraries could employ digitization of tables of contents, indexes, etc. of government information that is already stored or slated for storage at one of the RLF’s. These digitized portions could then be linked to bibliographic records, to better facilitate discovery and understanding of a stored source.

Commercial or private publishers, namely Readex and LexisNexis, are undertaking major digitization projects, like the Serial Set (for which the UCs have licensed perpetual access from Readex). In addition to digitizing large core collections of material, they are providing indexing, user interfaces, and bundling with related research resources. The cost and licensing of these products is significant. The increasing usage on UC campuses of these commercial products illustrates how valuable legacy material can be for our users in a digital format. UC Libraries should consider conducting a cost benefit analysis to determine if it is better for us to undertake digitization of this material vs. paying commercial publishers for permanent access and maintenance.

4.2.2 Collaborative projects

Current Projects

- GPO’s Digitization and Preservation Initiatives http://www.gpoaccess.gov/legacy/ Provides GPO’s strategy and priorities for digitization projects of legacy collections. Priorities for digitization do not include “historical” documents, e.g., US Code will be for 1988 ed. forward; Federal Register from 1990-94.
- GPO Registry of Digitization Projects http://www.gpoaccess.gov/legacy/registry/ A listing of digitization projects of Federal Documents from libraries, government agencies, or other non-profit institutions.
- GODORT Clearinghouse of Government Documents Digital Projects http://www.gl.iit.edu/services/ref/diggovclearinghouse.htm Provides information about digitization projects for local, state, federal, and international government documents that are currently planned, in progress, or already completed.
- UC/Stanford Government Information Librarians Digitization Projects http://www.library.ucsb.edu/gils/digitization.html A listing of proposed and in progress digitization projects of federal, local, state government information within the UCs.
• OAISTER  [http://oaister.umdl.umich.edu/o/oaister/](http://oaister.umdl.umich.edu/o/oaister/) UMich project that uses the Open Archive Initiative (OAI) protocol, to create a searchable collection of freely available, previously difficult-to-access, academically-oriented digital resources many of which include government documents; a discovery tool.


• Readex Archive Americana, which includes digitized American State Papers (1789-1838) and the Serial Set (1817-1980)

• Google Print [http://books.google.com/](http://books.google.com/) Note: government information included in google Print is theoretically freely available, however, a great deal of the material, when accessed is treated as if it is under copyright or leads a person to purchase a copy.

Upcoming:

• Open Content Alliance  [http://www.opencontentalliance.org](http://www.opencontentalliance.org) OCA will build a permanent archive of multilingual digitized text and multimedia content. “Books from UC Libraries will be scanned and made freely available.”

4.2.3 Proposed actions

**ACTION:**
Utilize the UC/Yahoo! Open Content Alliance partnership as a mechanism for digitizing legacy collections.

**ACTION:**
Investigate how to incorporate, link to, provide access to full-text content of government information contained in the Open Content Alliance, and potentially Google Print.

**ACTION:**
For the shared print collections, pursue digitization of text, tables of content, indexes, etc.

**ACTION:**
Investigate whether or not there is any UC (campus or systemwide) interest in pursuing the currently proposed or other digitization projects of government information? Will there be financial overhead to support digitization projects? Do campuses have access to the equipment and personnel to ensure the projects digital preservation standards or will there be technical requirements, staff training, etc. before

**ACTION:**
Monitor various digitization projects through various clearinghouses noted above. Should we develop criteria for selecting and adding access to these materials? Determine how to link our users to this full text content (add to catalogs? Create web pages? Other discovery mechanisms?)
5 Technical Process for Government Information

5.1 Current Environment

UC libraries add value with bibliographic control for local needs. At the present time, each of the campuses (except UCSF) process federal documents at their own libraries using Marcive records and their own staff. UCB, UCD, UCI, UCLA, UCSB and possibly UCM, use the Marcive product, Documents Without Shelves (DWS). This service provides the campuses an automatic way to receive hundreds of MARC records each month for government documents (serials and monographs) on the Web.

5.2 Trends

Not surprisingly, the number of print (only) documents is decreasing and the number of documents available electronically either with or instead of print is increasing. This means that the amount of technical services staff time necessary to process documents is decreasing.

Another trend is the possibility that GPO/OCLC would automatically attach holdings for (at first) regionals for all remote access cataloging that they do. This may (at least in the future) allow for libraries to have the choice of having a digital object with the accompanying bibliographic record or just the bibliographic record.

We can track increasing numbers of links to the GPO publications via records in our OPACs through the GPO PURL Referral Reports. These reports are compilations of statistics of each time a user clicks on one of GPO’s PURL links that we’ve included in our OPACs. For example, the FY2006 cumulative PURL referrals for UC libraries (excluding UCB) is over 12,000 hits for the period Oct. 05 through Feb. 06. The PURL referrals can be found at: http://www.access.gpo.gov/su_docs/fdlp/coll-dev/referrals/index.html (MELVYL is listed under “The Catalog of the University of California Libraries”).

5.3 Changes to consider

SCP distributing Marcive DWS files to the campuses (acting as a conduit)
- May be a small cost saving depending on how negotiations go with Marcive ($3000 vs $1500 x 7)
- Shipments of files could mimic the other SCP files by setting up a separate grouping on the SCP file server
- Could be a pilot for an eventual move towards switching to sending one file of records to Melvyl

GPO attaching library symbols to their records (regionals at first)
- If the UCs could be included in this (through the regional CSL), the records could be sent from OCLC (a la World Collection set style) to UCSD/SCP
- Then SCP could distribute these records. The digital objects would be stored, e.g., Supercomputer Center.

The Bibliographic Services Task Force Report contains recommendations that may greatly impact technical processing in the UC libraries.

5.4 Proposed actions

ACTION:
Monitor developments resulting from the Bibliographic Services Task Force Report recommendations, and integrate procedures of government publications technical processes.

ACTION:
Utilize shared bibliographic records.

ACTION:
Add value by cataloging old and new fugitive documents
6 Feasibility of Shared Print Projects

6.1 Shared Historical Collections
The UC government information librarians group strongly recommends retaining a complete historic collection of the U.S., California, international, foreign and local government documents that is as complete as possible, in order to serve UC students and faculty. This collection must be identifiable through an OPAC and sharable between campuses. We recognize the need for maintaining collections that will meet campus research needs, but do not feel that this means that we have to retain complete duplicate collections on all campuses. Formalized collaborative agreements would enhance our ability to meet the goal for a shared historical collection accessible in centralized storage or on individual campuses.

UC GILs does not recommend large-scale collection weeding based on a one persistent copy concept but does support and welcome selective weeding based on the local campus library's collection needs and the opportunity to share little used documents. Many Federal government publications are rare and valuable, and many are of substantive research value. The research community would not be well served by wholesale weeding based solely on the existence of one persistent copy in an RLF.

As we plan for a shared circulating collection, consideration must be given to retention of rare and valuable materials that need a protected environment, possibly available to campuses as Library Use Only. UC GILs is interested in exemptions from the one copy only policy for the RLFs to encourage retaining rare, valuable, historic materials needing special protection. This may result in more than one copy in an RLF. This may occur when a serial run is incomplete or damaged, or when the documents are too valuable to discard, and too fragile to retain in a circulating collection.

6.2 Interlibrary loan for community borrowers
The U.S. government publications collections involve depository agreements that specify retention and disposal requirements. These agreements require that public access to depository collections be available, with reference service comparable to that given for other library collections. If we create a shared collection of government information, access for community borrowers will be a major issue.

In addition to the need to make public access procedures transparent across campuses, another obstacle is the inconsistency of bibliographic records for analytics, e.g., individually cataloged titles for monographic series. Increasingly there is confusion about requesting titles between campuses because some campuses lack complete bibliographic records and without librarian intervention we see requests for materials that we own being routed to other campus libraries. A high priority should be placed on retrospective conversion for monographic series.

6.3 Collaborative Projects
Current

- Agreement on the cooperative development of access to government information among the UC/Stanford Libraries, http://www.library.ucsb.edu/gils/agreement.html

Upcoming:

- Proposal has been sent to CDC for a shared print retrospective collection of federal government information stored at the RLFs. [http://www.library.ucsb.edu/gils/sharedprint.pdf] Pending approval, we would like to expand this to include shared collections retained on campuses. We are waiting for
the final persistence policy for the RLFs to determine if the policy will lessen the necessity of this formal collection.

- UC GILs would create a list of individual campus collection priorities and strengths. This agency-based list will allow other campuses to rely upon these strengths for publications and reference assistance.
- It is imperative that we develop policies that comply with the depository requirement to make federal government documents available to community borrowers, including on-campus use for those without UC library cards. Publications in the RLFs fall under this requirement.
- Update the Union list of microform government publications collections holdings at UC and Stanford Libraries

### 6.4 Changes

<table>
<thead>
<tr>
<th>What will change?</th>
<th>How will it change? (*potential action items)</th>
<th>Technical Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Campuses will be able to rely upon persistence of shared print copy</td>
<td>Provide reliable reference for collection development decisions when refining a collection for campus research needs</td>
<td>For prospective RLF deposits, shared print note in record for, also note stating depository status for purposes of availability to public</td>
</tr>
<tr>
<td>Ability to rely upon particular campuses for research assistance in specific areas.</td>
<td>Formalize collection strengths</td>
<td>List to be posted to GILs page: <a href="http://www.library.ucsb.edu/gils/">http://www.library.ucsb.edu/gils/</a></td>
</tr>
<tr>
<td>Interlibrary loan for community borrowers</td>
<td>Community borrowers will have access to depository publications in the RLFs</td>
<td>Notes on ILL web pages Links on home pages Educate all public service personnel on depository access agreements</td>
</tr>
</tbody>
</table>

### 6.5 Proposed actions

**ACTION:**
Decide if persistence is sufficient for a shared collection

**ACTION:**
Work with the persistence task force to develop access procedure for community members

**ACTION:**
UC GILs to begin to develop list of collection strengths
References

An Arizona Model for Preservation and Access of Web Documents, Richard Pearce-Moses
http://www.lib.az.us/diggovt/azmodel/AzModel.pdf
Arizona State Library is developing capabilities to store and provide access to digital information in all forms

ARL Best of Documents Librarianship – notes from ARL Conference
http://www.arl.org/training/institutes/govdocs2_bestof_oct.pdf

ARL “Future of Government Documents” institutes report
http://www.arl.org/arl/proceedings/147/govdocup.html


Capturing E-Publications (CEP) of Public Documents,
http://www.cyberdriveillinois.com/departments/library/who_we_are/cep.html
The project goal is to demonstrate a national model and provide the tools for online state document capture and preservation.

CyberCemetery, http://govinfo.library.unt.edu/default.htm
Provides permanent public access to the Web sites and publications of defunct U.S. government agencies and commissions.

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http://www.access.gpo.gov/su_docs/fdlp/pubs/proceedings/05fall/our_preferred_future_dlcvision_discussion.pdf

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http://wikihost.org/wikis/nextsteps/var/gebo/data/file/vision_03_09_2006_this_one.doc

The Digital Preservation Research Agenda, Hedstrom, Margaret,
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FDLP Next Steps (access, user services, training, etc.): http://wikihost.org/wikis/nextsteps/

FDLP Selection Mechanisms: Item Numbers and Alternatives
http://www.access.gpo.gov/su_docs/fdlp/selection/index.html

Future Tangible Distribution to Depository Libraries
http://www.access.gpo.gov/su_docs/fdlp/council/briefing_topics/05sp/futuretangible.html

The Future of Government Information, opinion piece by James R. Jacobs
http://www.ucop.edu/lauc/opinions/gov_info.html

GODORT Clearinghouse of Government Documents Digital Projects,
http://www.gl.iit.edu/services/ref/diggovclearinghouse.htm
Provides information about digitization projects for local, state, federal, and international government documents that are currently planned, in progress, or already completed.
Note: government information included in Google Book Search is theoretically freely available, however, a great deal of the material, when accessed is treated as if it is under copyright or leads a person to purchase a copy.

Government Information Online (GIO), http://govtinfo.org
A national pilot project to establish a viable model for online cooperative virtual reference and information service that specializes in answering questions about government information.


GPO, Future Digital System Blog http://fdsys.blogspot.com/

GPO LOCKSS Pilot Project http://www.access.gpo.gov/su_docs/fdlp/lockss/
LOCKSS is an open source, peer-to-peer software that functions as a persistent access preservation system. The Pilot Project will investigate using LOCKSS as a means to manage, disseminate, and preserve access to Web-based Federal Government e-journals that are within the scope of the FDLP and the IES.

GPO’s Digitization and Preservation Initiatives http://www.gpoaccess.gov/legacy/
Provides GPO’s strategy and priorities for digitization projects of legacy collections. Priorities for digitization do not include “historical” documents, e.g., US Code will be for 1988 forward; Federal Register from 1990-94.

Access to crawled content of the Internet Archive from 1996 to current.

Full-text access to digitized collections of Continental Congress and Constitutional Convention papers, Journals and Debates of Congress, Statutes and Documents.

OAIster, http://oaister.umdl.umich.edu/o/oaister/
University of Michigan Digital Library Production Service project that uses the Open Archive Initiative (OAI) protocol, to create a searchable collection of freely available, previously difficult-to-access, academically-oriented digital resources many of which include government documents; a discovery tool.

Open Content Alliance, http://www.opencontentalliance.org
OCA will build a permanent archive of multilingual digitized text and multimedia content. “Books from UC Libraries will be scanned and made freely available.”


A listing of digitization projects of Federal Documents from libraries, government agencies, or other non-profit institutions.

UC/Stanford Government Information Librarians (UC/S GILs) web site: http://www.library.ucsb.edu/gils/


UC GILs, Proposal to Develop a University of California Shared Print Collection of Federal Government Publications [http://www.library.ucsb.edu/gils/sharedprint.pdf]
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A listing of proposed and in progress digitization projects of federal, local, state government information within the UCs and Stanford.

UC Task Force on Government Information, "University of California Shared Collection of Government Information, Final Report,
http://libraries.universityofcalifornia.edu/sopag/govinfo/govinfo_finrept.pdf


The Web At Risk: A Distributed Approach To Preserving Our Nation's Political Cultural Heritage, the California Digital Library NDIIPP Grant Project,
http://www.cdlib.org/inside/projects/preservation/webatrisk/
A 3-year grant project to develop web archiving tools that will be used by libraries to capture, curate, and preserve collections of web-based government and political information.

Web-based Government Information Project, a Mellon Funded Initiative
http://www.cdlib.org/inside/projects/preservation/govinfo/, (ended 2003, informed the CDL NDIIPP Grant)
ATTACHMENT: Charge to the Government Information Librarians of UC (GILs)

November 15, 2005

TO: UC Government Information Librarians group
FROM: Lucia Snowhill, Chair, UC Collection Development Committee
RE: Charge on planning for changes in government information


GPO's actions and strategic directions are indicative of the transition to primarily electronic delivery of and access to government information at all levels of government. UC libraries need to move forward in planning for these primarily electronic collections-including information that is born digital and information that will be digitized. There are a number of initiatives that are beginning to address aspects of the changes, such as the CDL NDIPP projects, discussion of UC shared print projects, LOCKSS, and the ARL Institute "The Future of Government Documents in ARL Libraries".

In order to plan for this transition from print-based to predominantly electronic government information collections, UC needs an analysis of the impacts of this transition and the implications for our current print collections and processing, services to patrons, and long-term access to and preservation of digital government information.

The UC Government Information Librarians are charged to provide a report on the following to assess the impact of this changed environment and to recommend pragmatic steps needed to move forward in providing primarily electronic government information to UC patrons. For the US federal documents collections:

1. What does it mean to be a federal depository library when the vast majority of information is in electronic form? What advantages will there be to maintaining depository status?

2. Given the impacts, opportunities, and challenges for both print and electronic collections, what actions do UC libraries need to take and what changes need to be made in the next one to two years for:
   --technical processing
   --access and services for patrons
   --training/expertise needed to manage the collections
   --preservation of digital government information (born digital and digitized)
   --feasibility of shared print projects
   --technical requirements

--Recommend pragmatic steps and new service models as appropriate in each of the areas above in making the transition to managing primarily electronic collections.

--Identify opportunities for collaborative projects, including projects and initiatives already underway that address portions of the actions needed above to move forward. Identify areas that are not being addressed. What groups within UC need to participate to accomplish these projects?

CDC recognizes that the transition to primarily electronic government information is occurring in all of the government information collections, that California state and local government information is at risk, and that the issues and challenges may vary with each collection. Given the timing of the ARL Institutes in September and October, however, please address the above charges only for the US federal government collections as the first phase. As a section in the first phase report, provide a phased plan and timeline for addressing the needed actions and changes, as well as differing needs and priorities, for the other government information collections.

Please provide a Phase I report by March 1, 2006, and submit quarterly progress reports following that initial report.