Task Force on Government Information

University of California Shared Collection of Government Information
Final Report

Submitted to the UC Systemwide Operations and Planning Advisory Group (SOPAG)
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Executive Summary

Government documents are a critical component of the University of California’s Library collections. The UC Libraries (apart from UCSF and UCM) are active participants in both the Federal Depository Library Program and the California State Depository Library Program. Many campuses also acquire publications from local governments, foreign governments, international government organizations and non-government organizations.

In August of 2002, at the request of the University Librarians, the Systemwide Operations and Planning Advisory Group (SOPAG) charged a Task Force on Government Information to develop a framework and an implementation plan for a unified Government Publications Repository for the University of California Libraries. The concept of a unified repository was proposed by the Collection Management Planning Group (CMPG) of the UC Systemwide Library and Scholarly Information Advisory Committee (SLASIAC), which has been actively discussing shared collections, both print and electronic, and the potential for improved services through enhanced access and cost savings in terms of storage, processing and elimination of unnecessary duplication.

A number of factors drive this evaluation of cooperative strategies for managing government information collections in the University of California.

- Collections, overall, are outstripping available space; the University is unlikely to fund significant additional space.
- The University has developed enhanced delivery capabilities such as Request and Desktop Delivery from campus and RLF (Regional Library Facilities) collections.
- Increasing dissemination of Federal government information in electronic formats, and the need for permanent preservation and access.
- California State agencies increasingly rely upon the Internet to meet their depository distribution responsibilities. There is currently no preservation mechanism for these works.
- Trends toward electronic publishing have resulted in a significant reduction in print publications received by UC government information collections.
- Substantial duplication of government documents across campuses; these include many older and low-use titles, and materials in need of preservation.
- Although the California State Library is a regional depository for the FDLP, as well as a comprehensive collection of State documents, its continued existence in the current budget environment is not as assured as it has been in the past.
- Increasing flexibility in the Federal Depository Library Program

All of these factors suggest that this is an opportune time to evaluate the structure of depository government information collections within the University to determine the ways in which we can reasonably and effectively cooperate to

- Preserve important collections of government information and ensure that research-level collections are easily accessible and
- Provide additional options for local decision making, specifically, to enable campuses to rely upon permanently available serial and monographic titles within the system when and if they choose.
Based on broad consultation, the SOPAG Government Information Task Force makes the following recommendations for creating a Shared Government Information Collection:

Recommendation 1: Develop Shared Collections of Government Information, housed at the Regional Library Facilities, upon which campuses can rely for permanent retention in order to make local decisions on the retention of materials. Material to be stored should focus initially on significant runs of serial materials and large sets of low use.

Recommendation 2: The Task Force recommends the establishment of a small steering committee to implement the Shared Collection. The committee should be empowered to work directly with SOFAG, to seek advice and assistance from the All Campus Groups, and to consult with interested parties such as the UC/Stanford Government Information Librarians.

Recommendation 3: Begin with existing RLF collections as the core of the Shared Collection.

Recommendation 4: To expand the core shared collections in the RLFs, we recommend the steering committee coordinate with campus government information selectors and other appropriate selectors to initiate a campus selector review of local collections with the purpose of identifying potential shared titles as well as candidate titles for digitization.

Recommendation 5: We further recommend that the steering committee work with campus selectors, the UC/Stanford Government Information Librarians and the UC/Stanford Map Librarians to expand and document cooperative collecting agreements that incorporate Shared Collection concepts and place a greater emphasis on collecting and sharing local, regional and other unique materials.

Recommendation 6: Utilize the investigations currently underway at the California Digital Library for the capture, curation, and preservation, of web-based government information as a guide for developing a persistently available government information preservation repository.

Recommendation 7: Utilize the UC Library Preservation Repository, which was recommended by the Digital Preservation and Archive Committee to SOPAG and subsequently endorsed by the University of California University Librarians, for the long-term preservation of digital government information.

Recommendation 8: Support campus projects to cooperatively make accessible tangible or “hand-held” digital products such as floppy diskettes, CD-ROMs and DVDs. Collaborate in national projects.

Recommendation 9: Support and encourage cooperative efforts of the UC/Stanford Map Librarians. Include maps in the Shared Collection as appropriate.

Recommendation 10: Explore the inclusion of depository microfiche material in a RLF, and options for electronic delivery.

Recommendation 11: As a longer-term goal, explore with UC science and government information librarians the potential for a shared technical reports collection (largely government-issued, but including non-governmental titles as well). This may involve the creation of a separate task force.

Recommendation 12: Develop effective communication with the Federal Depository Library Program to influence the direction of the FDLP. Maintain UC’s role as a key player by investigating and collaborating in relevant pilot initiatives of the FDLP.

Recommendation 13: Develop a Memorandum of Understanding with the California State Library (CSL) to enable UC to rely cooperatively on one or two copies of California State documents to meet the retention requirements for complete depositories.
Recommendation 14: Increase and improve training in government information resources on campuses. Expand cooperative activities already under way by the UC/Stanford government information librarians to develop web pages and guides, and ensure that all reference staff have a basic level of expertise, which includes the ability to make appropriate referrals for more assistance to government information selector/specialists. Expand communication and cooperation between government information librarians and bibliographers and faculty in the areas of political science, history, environmental studies, etc.

Recommendation 15: Share complex government information/[and other specialized subject area] questions via a UC statewide listserv or digital reference type program.

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Report of the SOPAG Task Force on Government Information

Introduction

In August of 2002, at the request of the University Librarians, the Systemwide Operations and Planning Group (SOPAG) charged a Task Force on Government Information to develop a framework and an implementation plan for a unified Government Publications Repository for the University of California Libraries. The concept of a unified repository was proposed by the Collection Management Planning Group (CMPG) of the UC Systemwide Library and Scholarly Information Advisory Committee (SLASIAC), which has been actively discussing shared collections, both print and digital, and the potential for improved services through enhanced access and cost savings in terms of storage, processing and elimination of unnecessary duplication.

According to the University Librarians’ message accompanying our charge, “Owing to the pressures of enrollment growth and other factors, the University has a compelling interest in managing existing library facilities so as to accommodate continually-growing collections of library material in all formats while relieving the pressure, wherever possible, on its overtaxed capital program. The CMPG is examining a wide range of issues, but was able to identify government information as a timely priority, due to the importance of the collections and the existing strength of collaboration among the campuses. The work done with government publications will also be a model for subsequent initiatives concerning print and digital collections, and archiving issues.” (See Appendix 1 for Charge and University Librarians’ Message).

The University Librarians have continued to develop their thoughts on shared collections. The Task Force has benefited greatly from their discussions, which have informed the development of our recommendations. One of the first UC Systemwide efforts undertaken to explore the concept of a shared print collection is the development of the shared print archive for the digital journal titles in UC’s Elsevier and ACM contracts. The creation of this archive (to be housed at the Southern Regional Library Facility) will provide campuses with the opportunity to cancel local print copies if desired. The University Librarians strongly wish to employ similar strategies for other areas of the collections. The journal environment is significantly less complicated than the government information environment, but it does serve as a starting point for our deliberations. This is the first opportunity to apply the Shared Collection concepts to a specific collection area and see how they apply to a variety of formats, publication and use patterns, and specialized situations across campuses.

Task Force Membership, Activities and Consultation

The members of the SOPAG Task Force on Government Information include three UC government information librarians, two senior administrative staff, a university librarian and a representative of the CDL:
In preparing this report, the members reviewed the requirements of the Federal Depository Library Program (FDLP) and met with Government Printing Office (GPO) staff. The Task Force Chair met with California State Library staff. The Task Force cooperated in the development of a collection survey conducted by the UC Government Information Librarians. The Task Force Chair visited the libraries at UCLA and UC Riverside, since these large collections did not have a representative on the Task Force. Preliminary recommendations were discussed in March with the UC/Stanford Government Information Librarians and the UC/Stanford Map Librarians Group. It should be noted that although the Stanford Libraries are represented on both the Government Information Librarians and the Map Librarians groups, the recommendations in this report deal exclusively with the University of California.

**UC Government Information Collections**

A description of the UC documents collections and a statistical profile are included in this report as Appendices 2 and 3.

**Scope of this report:**

The Task Force focused its attention on U.S. Federal and California State publications, which form the bulk of campus collections. The Task Force considered issues related to current and retrospective print publications, microfiche, depository maps, digitized materials, and materials issued in digital formats, both hand-held (floppy diskette, CD-ROM and DVD) and online (Internet).

**Driving Factors**

A number of factors drive this evaluation of cooperative strategies for managing government information collections in the University of California.

- Within the University of California, collections overall are outstripping available space; the University is unlikely to fund significant additional space.

- The University has developed enhanced delivery capabilities such as Request and Desktop Delivery from campus and RLF (Regional Library Facilities) collections.

- Increasing dissemination of Federal government information in digital formats, and the need for permanent preservation and access.

At the directive of the U.S. Congress, the Federal depository library program has become a primarily digital program, with currently 60 per cent of publications being disseminated in digital format. Many more titles will convert to digital format when the publishing agency elects to make them available digitally. A core list of fewer than fifty titles have been identified by the FDLP as essential for continued dissemination in print format regardless of the availability of a digital version.

To a much greater extent than in other disciplines, where digital resources are often digital editions of well-distributed and well-indexed paper publications, government information in digital formats is characterized by poor bibliographic access, and is highly volatile. Government information web sites change frequently, especially with the change of an administration or the reorganization of an agency. There are a number of federal initiatives, both governmental and partnership to preserve...
digital titles, however, these initiatives are small and localized and do not begin to address the need for a systematic plan for the preservation of digital government information. Of particular concern to UC librarians are regional Federal publications (Forest plans, environmental impact statements, for example) in California and the Pacific North and South West.

- California State agencies increasingly rely upon the Internet to meet their depository distribution responsibilities. There is currently no preservation mechanism for these materials.

  The California State Library and the UC Shared Cataloging Program are identifying and cataloging titles with digital versions. Neither the California State Library nor the State Archives is in a position to move quickly on archiving state documents, although the California State Library is acquiring a server on which to store downloaded and digitized documents (non-web-accessible). (See also <http://www.ss.ca.gov/archives/level3_chrssp.html> for information on the California Historical Records Statewide Planning Project, still in a fairly early stage.)

- Both of the above trends toward digital publishing have resulted in a significant reduction in print publications received by UC government information collections.

  The UC Government Information Librarians assisted the Task Force by conducting a survey of government information collections. Because of wide variations in the manner in which collections are processed and counted on the various campuses, there is little reliable comparable data from the survey, but the survey did confirm some important facts. On every campus, the number of print publications has dropped dramatically, and is continuing to drop as the depository library program continues its migration to electronic dissemination. Patricia Cruse and Sherry DeDecker also used Documents Data Miner <http://govdoc.wichita.edu/ddm2/gdocframes.asp>, a web resource for manipulating information on Federal depository acquisitions, to generate accurate data on acquisitions and on depository selections. Systemwide, receipts of Federal depository materials in 2001/2002 are less than half of what they were in 1994/95. (See Appendix 3 for summary statistical data.)

- Substantial duplication of government documents across campuses; these include many older and low-use titles, and materials in need of preservation.

  The Documents Data Miner study illustrated that among depository selections by campus there is very little unique material; most variations proved to be different choices of format. (Note: campuses may also receive unique material via requests, orders and mailing lists outside the depository library programs). (See Appendix 3 for summary statistical data).

- Although the California State Library is a regional depository for the FDLP, as well as a comprehensive collection of State documents, its continued existence in the current budget environment is not as assured as it has been in the past. The California State Library is facing major budget cuts with a significant reduction in staffing and materials and equipment budgets. UC libraries may have to assume responsibility for preserving essential research materials.

- Increasing flexibility in the Federal Depository Library Program.

Members of the Task Force have met with the GPO’s Superintendent of Documents and his staff to explain UC’s interests. We found the Federal Depository Library Program (FDLP) staff to be more flexible and open to innovation, in response to the changing depository environment and the need to encourage libraries to remain in the program. Dropping depository status would be inadvisable, especially for institutions with large historical collections, because both Federal and State depository publications are the property of the respective governments. When Federal depository status is dropped, the publications are considered available for redistribution to other institutions. [For more information about depository requirements, see the Depository Management section of the Government Printing Office’s web-based FDLP Desktop at <http://www.access.gpo.gov/su_docs/fdlp/mgt/index.html>]
FDLP staff and the advisory Depository Library Council are exploring innovative approaches to retain libraries in the program, such as allowing depository libraries to forego paper receipts and rely upon access to digital information, and to develop shared print repositories.

The California State Library is willing to work with us on a coordinated approach for retention of California State publications. Although it does not consider revisions to state legislation for depository documents to be feasible, it is planning to revise regulations to better reflect the current environment.

All of these factors suggest that this is an opportune time to evaluate the structure of depository government information collections within the University to determine the ways in which we can reasonably and effectively cooperate to

- Preserve important collections of government information and ensure that research-level collections are persistently accessible and
- Provide additional options for local decision making, specifically, to enable campuses to rely upon permanently available serial and monographic titles within the system when and if they choose.

By ensuring continued availability of archival or use copies, and their rapid delivery on request, campuses may elect to withdraw some materials, or to identify those materials for permanent retention and access either on their own campus or in a regional library facility. This is a model directly applicable to other subject areas with the University’s collections.

**CREATING A SHARED COLLECTION OF GOVERNMENT INFORMATION**

**Recommendation 1: Develop Shared Collections of Government Information, housed at the Regional Library Facilities, upon which campuses can rely for permanent retention in order to make local decisions on retention of materials. Material to be stored should focus initially on significant runs of serial materials and large sets of low use.**

In addressing its charge to develop an overall conceptual model for a unified government publications repository, the Task Force considered the following issues and behaviors:

**Characteristics of government information:** Government information in paper format differs in several ways from the journal literature that has been the focus, thus far, of shared print collections:

- The sheer volume of individual bibliographic records—hundreds of thousands on each campus.
- The mixture of substantial and pamphlet material, serials and monographs.
- Lack of standard indexing for serials, many of which are administrative or statistical.
- Lack of bibliographic access for monographic series and much retrospective material.
- Specialized indices, or browsing of collections may be needed to locate requested information.

These factors have implications both for the manner in which such material could be shared, and for the type of user assistance required. At the same time, there are a substantial number of titles owned in common by more than one campus. And, there are a significant number of lower-use titles that can be shared, some of which have already been stored in one of the regional library facilities.

The staff expenditures for identifying materials, making technical processing changes and transferring of materials that would be required to create a single repository for government documents are potentially enormous. We concluded that there were considerable amounts of material that would form the basis of a Shared Collection for the university, but that it was not feasible, because of the volume and nature and use of the materials, to create one single repository. We suggest identifying a range of government information materials to be processed as part of the UC Shared Collection.
Taking the longer view of overall space and cost savings for the university libraries, we will obtain a more cost-effective result from storing more of the voluminous and easily identified materials (which result in a lower processing cost) over a broad range of collections rather than attempting to store all of the materials in one collection area. The principles and procedures developed in the government information project can be extended to other collecting areas.

The UC government information librarians with whom we have consulted were receptive to the concept of shared collections as we have proposed them here. Particularly critical to working with a shared collection, in their opinion, is the maintenance of local options. The availability of copies that are permanently accessible increases local decision-making options while allowing campuses to respond to local research needs as well as local space issues. UC government information librarians also cited the unique nature of government information materials and reference strategies as they affect the ability to share materials.

Centralized (RLFs) versus distributed (campus) locations: The Committee considered models of both distributed and centralized shared collections, and received positive feedback on both concepts. We concluded that centralizing shared collections in the RLFs was a far simpler manner of developing and operating a Shared Collection. Eventually, as the RLFs expand holdings to include more and more collections, the Shared Collection concept might be expanded to designate local copies as the shared copy, similar to the designation of serials subscriptions as “last” copies. Local campus holdings of shared titles may also develop from collecting agreements, such as, for example, an agreement to maintain copies of U.S. Department of Agriculture publications, or to maintain a set that requires assistance in use. Ultimately, the location of an item is unimportant; the key is the behaviors that characterize it.

Archival issues: The Task Force recommends that in general, titles designated as “shared” should not be considered “archival” in the strict sense of the word. Developing a Shared Collection will be immeasurably more difficult if we try to make this an archival collection. Other institutions already have statutory archival responsibilities. The existence of multiple copies of Federal print documents in regional and selective depositories around the nation, including the California State Library, allow us to devote our limited resources to printed material in need of preservation, to unique materials in the UC collections, to materials identified as especially important to our research collections and to digital resources that are not being preserved for access. Titles stored at an RLF could be considered to be part of a dim archive, in that material would normally be digitized for delivery, rather than loaned. For materials not appropriate for digitization, loaned materials should be library use only in the receiving library.

Ownership: Ownership issues for the Shared Collection are under discussion by the University Librarians. When considering physical ownership, there are unique issues associated with government information: Federal and State documents issued through the depository library programs are technically the property of the respective governments, although they are counted as part of campus holdings. We believe that government information can be counted in the same manner as other collectively owned titles as long as appropriate procedures are followed for access to the material and withdrawal from the collections.

Delivery and Access: UC’s development of Request and DeskTop Delivery provides for quick and effective delivery of materials with good bibliographic access through the University's catalogs. There may be special challenges for government information with limited bibliographic access. The existence of expedient delivery options is a critical requirement to developing a comfort level among library staff and library users that will facilitate the sharing of more materials with a higher level of local use.

Special provisions will be required to ensure that community users will have access to stored material that is depository. By the time material obtained through various acquisitions mechanisms is merged into shared collections, it will not be feasible to distinguish between depository and non-depository publications, and which campus selected which materials. Therefore, it should become a general policy that any U.S. or California document from the Shared Collection would be retrieved for use by any campus library by any library user. This could be fairly easily accommodated by having the local campus library make the request.
RLF support issues: We recognize that these recommendations have the potential for significant change for the Regional Library Facilities. There will be an impact on workload as additional material is deposited in the RLFs. In addition to needing more staff, the RLFs might take on a more active role in managing collections rather than maintaining a passive role as a storage location. We do not anticipate, however, that materials to be stored would require a level of reference assistance that the RLFs are not intended to undertake. Material transferred to the RLFs should be carefully selected in order to allow for effective retrieval of the needed volumes. There may need to be additional investment in equipment for delivery of materials in order to meet the goals of the Shared Collection collectively managed and accessible Universitywide. The University Librarians have already acknowledged these issues in charging a Regional Library Facilities Planning Task Force that will include “consideration of possible roles for the RLFs in supporting new initiatives.”

Recommendation 2: The Task Force recommends the establishment of a small steering committee to implement the Shared Collection. The committee would be empowered to work directly with SOPAG, to seek advice and assistance from the All Campus Groups, and to consult with interested parties such as the UC/Stanford Government Information Librarians.

Recommended membership:

- CDC representative
- Government information cataloger
- Public services librarian with government information experience
- ILL/RLF representative
- CDL/Digital component representative
- SOPAG liaison—who could also fill one of the other functions

As the University continues to develop its Shared Collection, we envision a series of task forces to implement the collection in various areas of the collection, making use of the procedures and standards developed by the government information coordinating committee, until such time as a single coordinating body can manage the Shared Collection.

Evaluation: The steering committee will conduct periodic evaluations and cost-benefit analyses of the process, consulting with SOPAG on the criteria for conducting the evaluation.

BUILDING THE SHARED COLLECTIONS: IMPLEMENTATION ISSUES

Recommendation 3: Begin with existing RLF collections as the core of the Shared Collection.

Existing collections in both of the RLFs would be a good starting point for materials to designate as shared copies, to the extent that stored materials have appropriate bibliographic records. UCLA has stored a significant portion of its collection in the SRLF, and these may be candidates for designation as shared copies. UCLA is planning an inventory of the nature of the stored collection and its bibliographic access that will provide a basis for evaluation.

We suggest that it would be the responsibility of the depositing library to designate materials as part of the Shared Collection.

Recommendation 4: To expand the core shared collections in the RLFs, we recommend the steering committee coordinate with campus government information selectors and other appropriate selectors to initiate a campus selector review of local collections with the purpose of identifying potential shared titles as well as candidate titles for digitization.

Recommendation 5: We further recommend that the steering committee work with campus selectors, the UC/Stanford Government Information Librarians and the UC/Stanford Map Librarians
to expand and document cooperative collecting agreements that incorporate Shared Collection concepts and place a greater emphasis on collecting and sharing local, regional and other unique materials.

The Task Force discussed issues related to a cooperative collection development policy for government information. Government information is a unique collection area in that it encompasses most subject areas. Government information is housed in a variety of campus collections, such as science and engineering or biological sciences libraries. Cooperative collecting among government information departments has been primarily focused on international and foreign materials in addition to categories of publications, such as geological and water survey publications from other countries and from individual states. The map librarians and geology librarians, in particular, have well developed collecting agreements.

For the purposes of the Shared Collection, it seems most fruitful to look at formats, such as print and digital or fiche, current and retrospective, agencies, and, as indicated above, California versus other states, and foreign countries.

As noted above, for printed depository material from the federal government, there has been considerable overlap and very little unique material acquired. With the development of a Shared Collection, government information selectors are encouraged to place greater emphasis on collecting unique materials, particularly local, regional publications and specialized subject areas of local importance.

**Retrospective versus Current:** UC government documents in print format number several million pieces, and tens of thousands of inactive and active serials. Campus space limitations make dealing with retrospective materials an urgent issue. Because of the drastic reduction in new print publications described above, and the ability to curtail federal depository selections at local option, dealing with current publications is not an urgent concern and can be considered in a later phase. Our proposals focus on retrospective materials in print format.

**Processing:** The steering committee will work with campuses and the RLFs with a small number of initial candidate titles to develop procedures for processing titles into the Shared Collection. The committee may also work with RLF staff to develop procedures for designating, preferably via global record changes, current stored titles as part of the Shared Collection.

**Bibliographic access and record standards:** Optimally, titles in the Shared Collection should have full bibliographic records in order to facilitate sharing. This will be especially important if a shared copy is the only copy of the publication. Stored materials should at least meet the UC minimum cataloging standard.

The UC libraries should agree on a standard method of identifying a shared copy via the cataloging record. We suggest that SOPAG consider charging the Heads of Technical Services (HOTS) to develop such a standard. An indicator in the bibliographic record might prove more flexible than a “Shared” location, “Last” copies in campus collections also need identification in order to protect them. Also, the concept of a Shared Collection may be extended to include materials housed at campuses.

We further suggest that the steering committee pursue strategies, such as the acquisition of cataloging records for historical hearings or technical reports, to improve bibliographic access to government information, thereby increasing potential for sharing collections.

**SHARED COLLECTION ISSUES FOR DIGITAL FORMATS:**

**Recommendation 6:** Utilize the investigations currently underway at the California Digital Library pertaining to the capture, curation, and preservation, of web-based government information as a guide for developing a persistently accessible government information preservation repository.
The California Digital Library, with support from the Andrew W. Mellon Foundation, is conducting a cost-benefit review of technologies and approaches appropriate for the capture (or selection), curation and management, and preservation of web-based documents of US State and Federal governments. This project is based on three fundamental assumptions. The first is that government information, whether created and distributed in analog or digital form, is a critical resource for academic scholarship, scientific research and citizen participation. The second is that web-based government information is increasingly content that is at-risk due to a variety of well-documented pressures. The third is that the University of California Libraries must retain their historic role as acquirers, organizers and preservers of content in the new networked digital environment.

The project has three phases. The first phase is devoted to gathering information on the scope of the problem, technologies available, and projects engaged in like activities. The second phase will involve working with intermediaries and users of government information in order to specify a set of functional tools that can be used to effectively manage government information. The final phase of the project will be a report, detailing findings, which will be circulated to a broad community for comment. Out of the project will come a strategy for types of technologies, user tools, and administrative structures needed in order to select, manage, and preserve web-based government information. External funding for the project will end in November 2003. It is anticipated that much of the work emanating from this investigation will influence how the UC Libraries will manage web-based government publications.

UC should also monitor, collaborate and initiate as appropriate digital government information preservation projects of and with other academic institutions and the State of California. We understand that relevant projects may also be underway at OCLC and we encourage exploring those to determine whether they fit the scope of UC activities.

Recommendation 7: Utilize the UC Library Preservation Repository, which was recommended by the Digital Preservation and Archive Committee to SOPAG and subsequently endorsed by the University of California University Librarians, for the long-term preservation of digital government information.

The California Digital Library will administer the UC Library Preservation Repository with funding from an IMLS National Leadership Grant, the campuses and the California Digital Library. The IMLS funding is for a three-year project that began November 2002. The UC Libraries’ preservation repository will address the risks associated with the long-term retention of digital materials. The repository will provide a central service for storing digital objects and for planning for their migration. Policies and procedures will be developed that build on digitization projects that are already in place. Thus, the preservation repository will provide an infrastructure to effectively manage digital government information. In addition, the preservation repository will offer the potential for storing materials that have been selected for digitization to save space, or to preserve the content of deteriorating paper editions.

Recommendation 8: Support campus projects to cooperatively make accessible tangible or “hand-held” digital products such as floppy diskettes, CD-ROMs and DVDs. Collaborate in national projects.

Staff and equipment use could be maximized through campus and national projects to cooperatively access tangible electronic projects. The UC San Diego Library, for example, maintains the GPO Data Migration Project <http://ssdc.ucsd.edu/dmp/> to preserve legacy Government Printing Office machine-readable computer files that were originally distributed on 5 1/4" Microsoft DOS floppy diskettes. The project provides access to the data, as well as a permanent archive for the GPO files. UCSD has, whenever possible, processed the files so they can be utilized by a variety of software applications. A similar site is the Floppy Diskette Project of the Committee on Institutional Cooperation (CIC) Government Publications Task Force <http://www.indiana.edu/~libgpd/informs/floppy/floppy.html>.

Many Federal CD-ROM projects have migrated to the web, but a limited number of titles are still of interest for campus reference access. Mounting a selected number of titles cooperatively for shared access would provide savings across campuses. These projects would expand upon existing ventures: CDL’s
Counting California <countingcalifornia.cdlib.org> project has made a number of CD-ROMs available for access (California data only). CD-ROMS included are all of the current Census 2000 files and a number of historic U.S. Census files. While Counting California’s primary focus is access, the intention is to ingest the digital content into the preservation repository. The UC Berkeley Social Science and Government Data Library <http://goldrush.berkeley.edu/GovData/info/> is making available current Census files for access and historic files for ftp.

**SHARED COLLECTION ISSUES FOR MAPS**

**Recommendation 9:** Support and encourage cooperative efforts of the UC/Stanford Map Librarians. Include maps in the Shared Collection as appropriate.

Most campuses collect the U.S. topographical maps that are an essential part of their collections, and may also collect Forest Service, nautical, geological, seismic and other maps issued by State and Federal agencies. We reviewed draft recommendations with the UC/Stanford Government Information Librarians in March. The map librarians strongly support the concepts of a shared collection, and are actively involved in cooperative collection development, cataloging, digitization and access activities and projects. In acquiring digital resources or digitizing maps and aerial photos for access and preservation, the map librarians use a distributed and centralized approach, depending upon the nature or the extent of the material. Most shared titles are accessed from campus servers; other material is accessed via the Alexandria Digital Library. It is the goal of the Map librarians to provide access to digital mapping materials via links in Melvyl records, as well as enhanced access through expanded searching options available through metadata in the ADL interface. We recommend that the map librarians continue to pursue these projects and that they coordinate as appropriate with existing University programs for shared cataloging and other shared activities.

**SHARED COLLECTION ISSUES FOR MICROFICHE**

**Recommendation 10:** Explore the inclusion of depository microfiche material in a RLF, and options for electronic delivery.

Each UC depository has a fairly significant collection of depository microfiche. The UC Davis collection, for example, occupies approximately eight 11-drawer microfiche cabinets. The amount of depository microfiche issued is dropping even more precipitously than the print (5500 in 2000/2001 compared to nearly 27,000 in 1994/95), so we are dealing primarily with a retrospective collection. The space savings for sharing microfiche collections is minimal compared to paper, but still significant when viewed in terms of the percentage it represents of a campus library microforms collection.

Microfiche is easily deliverable via the creation of a microfiche duplicate. This equipment may or may not already exist at an RLF. Of even greater benefit would be UC’s acquisition for an RLF of a scanner such as the Mekel Microfiche Scanner <http://www.mekel.com/html/fiche.html> owned by CSL. The availability of such equipment might also facilitate development of digitization projects for material to add to UC digital archives.

With an effective delivery system for fiche, we could expand the holdings of the Shared Collection to include a portion of campus microfiche collections, including those acquired through shared purchase. Microforms housed in the shared archives need not be limited to government information.

**Recommendation 11:** As a longer-term goal, explore with UC science and government information librarians the potential for a shared technical reports collection (largely government-issued, but including non-governmental titles as well). This may involve the creation of a separate task force.
A number of UC libraries have extensive technical report collections. Many of these technical reports are the product of government-funded research and as a result numerous are UC authored. Because of increasing digital distribution of reports, such as those of the Department of Energy, technical report collections are not growing as actively as in previous years. Any given report is likely to be of very low use, yet access to a complete historical collection of technical report literature is essential for a research library. Consolidating existing microformat and paper report collections which are highly duplicative, with the acquisition of equipment for rapid delivery of digital copies could provide cost savings and improve access overall. A Shared Collection could be located either at an RLF or at a campus. Issues to consider are expertise for locating reports and technology for delivering reports.

**ADDITIONAL RECOMMENDATIONS**

**Recommendation 12:** Develop effective communication with the Federal Depository Library Program to influence the direction of the FDLP. Maintain UC’s role as a key player by investigating and collaborating in relevant pilot initiatives of the FDLP.

The Federal Depository Library Program is at a crossroads. A new Public Printer and Superintendent of Documents are dedicating Summer and Fall 2003 to strategic long-range planning for the Government Printing Office and the Federal Depository Library Program. It is essential for UC librarians and the Association for Research Libraries to be involved in a constructive manner in determining the future direction of the FDLP. University of California librarians have an excellent track record of participation in the FDLP. In addition to the NTIS electronic delivery project initiated by UC Davis, UC San Diego developed an early and influential GPO Access Gateway. UC should maintain a key role in creating new models for the FDLP. Via the steering committee, individual campuses, or the UC/Stanford Government Information Librarians, UC should continue to monitor, encourage and participate in new initiatives in the Depository Library program, including the development of shared print repositories and electronic-only depositories.

**Recommendation 13:** Develop a Memorandum of Understanding with the California State Library to enable UC to rely cooperatively on one or two copies of California State documents to meet the retention requirements for complete depositories.

California State documents, though on permanent deposit, remain the property of the State of California and may not be disposed of without the written authorization of the State Library (with the exception of certain superseded and other material). In a meeting with representatives of the California State Library Government publications Section, it was suggested that the spirit of these requirements would be met if UC libraries maintained at least one “shared” copy of a State publication in a storage facility or campus, and were able to efficiently deliver that copy to any requestor, including a public borrower. The State Library, within the limits of the Library Distribution Act, establishes retention policies. It is unlikely that the Act itself will be revised in the near future. Development of a Memorandum of Understanding between the University and the California State Library would accomplish our goals.

Given the State’s budget problems, we think it advisable to retain one or more copies of all state publications of interest. The ability of the State Library to maintain its services and collection is endangered by the state’s current economic situation.

**SERVICE GOALS AND OBJECTIVES FOR THE SHARED GOVERNMENT INFORMATION COLLECTION**

Public service for government information is affected by the unique characteristics mentioned above. Bibliographic control of government information is more limited than for other areas of UC collections. Individual monographs and serial titles are listed in campus catalogs, but retrospective access is limited. Historically, many of the monographic series of government agencies have not been analyzed. There are a
number of specialized indexes for locating government information; government information has not
generally been included in standard indexes. Government information reference has generally required
more hands-on assistance, in which the individual titles must be consulted, especially historical and
statistical information. An understanding of how government information is issued and organized as well as
the concepts and terminology used (such as statistical and legislative terms) is often necessary.

As a consequence of managing and providing service for the physical collections of government
documents, a core of government specialists developed on each campus. As is appropriate for a research
library, these specialists developed and provided access to government information at an in-depth-level,
locating obscure historical information, assisting with specialized materials such as regulations and treaties,
finding statistical data of all sorts—decennial census data, time-series, comparable foreign data, etc. When
reference units have merged, continuing to provide excellent government information service through
training of other reference staff, and developing effective referrals to specialists is a significant and
continuing challenge which has been met with varying degrees of success.

Access to government information has changed in a major way due to two factors. Bibliographic records
for government information are now in the online catalogs. Many subject searches and searches for known
items produce successful results and do not require the assistance of a government information specialist.
These successes may lead reference staff to believe they have searched effectively in cases where they have
not, when a specialized index or other type of assistance is required. Many campuses have not completed
retrospective conversion of historical collections, and bibliographic access to government information
continues to be compromised by the factors mentioned above. Ensuring that we continue to provide
research-level assistance to government information is a continuing education and referral challenge that
will be exacerbated as print collections are less available.

The second major factor is the shift to electronic dissemination. Electronic resources are directly
accessible. Statistical data and policy information is posted on government web sites, decennial census
data is at everyone’s fingertips through American Factfinder, etc. Government information librarians are
often able to locate information more effectively because they are familiar with the bureaucratic structure
of government agencies, and because they understand the geographic and statistical terminology used.
However, we have the opportunity to train our reference staffs to a much higher level of effectiveness in
accessing current government information electronically than was ever feasible with printed resources.
Electronic resources are available from any workstation rather than housed in one location, and users can
access the information directly after being assisted. Expanded public services training for access to
government information is required, with attention to the same issues of referral for more expert assistance.

In order to maintain effective access to the University’s research-level collections of government
information resources and to the electronic resources on the web, we recommend the following:

**Recommendation 14:** Increase and improve training in government information resources on the
campuses. Expand cooperative activities already under way by the UC/Stanford
government information librarians to develop web pages and guides, and ensure that all
reference staff have a basic level of expertise, which includes the ability to make appropriate
referrals for more assistance to government information selector/specialists. Expand
communication and cooperation between government information librarians and
bibliographers and faculty in the areas of political science, history, environmental studies,
etc.

Government information librarians are concerned, because of retirements of experienced librarians, and
concomitant reductions in reference staffs because of budget reductions, that the availability of expert
assistance in all areas of government information will diminish across campuses.

**Recommendation 15:** Share complex government information/[and other specialized subject area]
questions via a UC statewide listserv or digital reference type program.
Access to government information expertise is essential in a network of research libraries such as UC. At any given time, however, the necessary expertise may not be available on a campus. We suggest that a statewide online reference or listserver be established to facilitate the sharing of expertise for answering difficult reference questions. This model could apply to a variety of specialized areas. UC/Stanford Government Information Librarians were enthusiastic about this idea and are now enhancing the group’s web site with information about librarian areas of expertise. We suggest that concept be explored with the Digital Reference Common Interest Group, which reports to the Heads of Public Services (HOPS).

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Appendices:

Appendix 1 Charge, Message from the University Librarians
Also at <http://www.slp.ucop.edu/sopag/govpubsTF7.pdf>

Appendix 2: Government Information Collections of the University of California Libraries; Background and Description

Appendix 3 Statistical Profile
Complete tables at:
http://www.cdlib.org/libstaff/sharedcoll/gii/current_unique_UC_item_selections.pdf
15 August 2002

University Librarians’ Message on Government Information Task Force

Enclosed is a document establishing and charging the SOPAG Taskforce on Government Information. It is being created at the request of the University Librarians, and with our strong endorsement. The document provides a rationale and background for this task force, but several points are worth emphasizing.

Government publications are essential to the quality of the collections of the libraries of the University of California. The work of the task force is intended to empower and enable government information specialists to use their knowledge, skills, and abilities to continue to develop the collections comprehensively, as is appropriate for the academic mission of a leading research university.

The task force will build upon and further develop earlier, pioneering work of the government information librarians, who have provided leadership in recognizing the changing environment, and consequently the opportunities, for government information. The task force will bring together issues of electronic and print publications, archiving, and physical space in a comprehensive plan.

While there has been no predetermination of outcomes, it is clear that we must take the initiative to move forward quickly to address these issues. In addition to the collections issues, of particular concern to the Office of the President as well as the ULs is space for the campus libraries and the RLFs, and the duplication of collections across the university. The Systemwide Library and Scholarly Information Advisory Committee (SLASIAC) established the Standing Committee on Universitywide Library Collection Management Planning (the Collection Management Planning Group or CMPG) to focus on the issues of space for collections, the management of collections, and the nature of the University’s archival responsibilities. Owing to the pressures of enrollment growth and other factors, the University has a compelling interest in managing existing library facilities so as to accommodate continually-growing collections of library material in all formats while relieving the pressure, wherever possible, on its overtaxed capital program. The CMPG is examining a wide range of issues, but was able to identify government information as a timely priority, due to the importance of the collections and the existing strength of collaboration among the campuses. The work done with government publications will also be a model for subsequent initiatives concerning print and electronic collections, and archiving issues.

Gerald J. Munoff, Chair, The University Librarians’ Group
University Librarian, University of California, Irvine
SOPAG Task Force on Government Information

Introduction:

Over the years there have been broad discussions in the library community regarding the future of Government Publication collections and services in the context of the migration to digital generation and distribution of government information. There has been a long tradition of collaboration and cooperation between the UC Government Information Librarians. In 1998, the UC/Stanford Electronic Government Information Initiatives Group (EGIIG) anticipated the need for an electronic repository for government information in its report “Creating a California Digital Government Information Library.” On the basis of that report and subsequent proposals by the UC/Stanford Government Information Librarians (UC-GILS), digital government information was chosen as one of the first priorities of UC's shared content building initiatives, resulting in the creation of the CDL-hosted Counting California service. The positive results of collaborative efforts to date suggest further collaboration and planning is desirable in order to continue to provide superior access to government information.

The Collection Management Planning Group (CMPG) of the Systemwide Library and Scholarly Information Advisory Committee (SLASIAC) has engaged in discussions of shared collections, both print and electronic, and the potential for improved services through enhanced access and cost savings in terms of storage space, processing, and eliminating unnecessary duplication [http://www.slp.ucop.edu/consultation/slasiac/CMPG.html]. One outcome of these deliberations was the generation of a discussion document with the title “Building of a Unified Government Publications Repository.” <http://www.slp.ucop.edu/sopag/govpubsTF7.pdf> The University Librarians discussed this report and endorsed (with one abstention) its concepts at their May 9th meeting in Los Angeles. They have asked SOPAG to appoint a Task Force to explore this concept and consider how a unified government publications repository might be developed for the University of California Libraries.

In its discussion at its June 21st meeting, SOPAG concluded that a two-step process is required to explore this concept and develop recommendations for its implementation. The first step, will be to develop a framework for a unified government publications repository. The second step will be the development of an implementation plan based upon this framework. Because a “Unified Government Publications Repository” will require universitywide collaboration and a technical and organizational infrastructure of shared values, tools, services, standards, and best practices to support it, the task force’s efforts will assist the UC libraries in creating a deeper understanding of the collective development of shared digital collections.

Charge:

The SOPAG Task Force on Government Information (TFGI) is charged to develop a framework and an implementation plan for creating a unified government publications repository for the University of California Libraries, based on the general concepts described in the attached CMPG report. The framework and plan should include the following elements:
1. An overall conceptual model for a unified government publications repository for the University of California Libraries which would provide the infrastructure for government publications librarians to work collaboratively in building a unified repository.

2. A systemwide collection development policy for government publications that would focus on the transition to electronic distribution, access, and use of government information but also consider the implications of this transition for the future of UC’s print and microform collections of government publications.

3. Service goals and objectives for the unified government repository, based on known patterns of use of government information.

4. The preservation of the contents of the unified government publications repository.

5. A plan for implementing the repository.

**Consultation:**

In carrying out its charge, the Task Force is expected to consult widely with campus Government Publications Librarians, the UC/Stanford Government Information Librarians [http://www.library.ucsb.edu/gils/], the CDL Government Information Initiatives Advisory Group [http://www.cdlib.org/libstaff/sharedcoll/gii/grpcharge.rtf], the State Library, and other appropriate groups within the University, such as the Map Librarians.

**Membership:**

Patricia Cruse (CDL: Manager, Content Development, Academic Initiatives)
Sherry DeDecker (UCSB: Communication & U.S. Document Librarian)
Judy Horn (UCI: Head, Government Information Department)
Patty Innuzzi (UCB: AUL and Director of Doe/Moffit)
Linda Kennedy, Chair (UCD: Head, Government Information and Maps)
Phyllis Mirsky (UCSD: Deputy University Librarian, SOPAG Liaison, and CDC Member)
Sarah Pritchard (UCSB: University Librarian, UL Liaison)

**Timeframe:** Final report: 6 – 9 months (February - May 2003)

**Attachment:** “Building a Unified Government Publications Repository”
<http://www.slp.ucop.edu/sopag/govpubsTF7.pdf>
8/22/02
SOPAG Task Force on Government Information Final Report
Appendix 2: Government Information Collections of the University of California Libraries;
Background and Description

Background
A strong collection of government information resources, and specialist librarians to assist in access are among the distinguishing features of a research library. The University of California collections include campus collections of outstanding depth and breadth, such as at UC Berkeley, where the Federal depository collection began in 1884. UC libraries include many unique collections established by depository arrangements, including the European Union, the United Nations, and the Asian Development Bank. In addition to depository materials, each campus collects materials of local interest from local and regional government and regional offices of Federal and State agencies. These include city and county governmental materials, regional associations of government, environmental impact reports of local importance, and reports from regional offices of Federal agencies, reports that are often not in the depository program. Most campuses also collect maps issued by government agencies, and collect from international and foreign governments. Eight UC campuses are depositories for Federal and State documents. UC law libraries are also depositories, receiving a limited range of primarily legal materials.

Government information collections are interdisciplinary, and support such varied fields as agriculture, environmental sciences, the physical sciences, history, political science and many other social science fields. Government information collections are valued as primary source material, and are a major source of statistics for a wide variety of disciplines. As research-level collections, UC libraries contain resources valuable to the entire state.

Government information specialists in the UC system have a strong history of cooperation—shared purchasing, direct borrowing between collections, cooperative collecting in foreign documents. During the Shared Collections Acquisitions Program (SCAP) in the 1980s, government information collections cooperated on purchasing a number of large expensive sets, such as the American Statistics Index microfiche. With the merging of many separate government information desks with other reference desks in the 1980s and 1990s, direct borrowing has diminished, but government information librarians have continued to actively cooperate and promote access to government information through shared electronic and cataloging projects.

Description
In November 2002, a survey was distributed by the UC Government Information Librarians steering committee in an effort to assess the size and strengths of the government collections. The responses can be found in nine excel charts, accessible from:
The questions covered:
- Depository agreements: U.S., California, other
- Size of collections
- Current vs. historical receipts
- Uncataloged collections
- Cataloging practices
- Classification and housing
- Government collections in storage
- Weeding and collection usage data

In addition, data was gathered on unique titles held at campuses. That information is available at:
The government information librarians were also asked to assess the particular strengths of their collections. Their responses are as follows:

**Government Collection Strengths of the UC Libraries**

Descriptions are from the responses sent by each campus in answer to question #9, “What is the strength of your U.S., California, and international collections? (For example, do you have historical documents of note?)” on the GILS Survey, November 2002.

**Berkeley**

- Full U.S. depository in 1884 until 1962; became a 78% selective federal depository: houses one of the largest collections of government publications in the country.
- Especially strong in foreign holdings, particularly national census collections; obtained as comprehensively as possible.
- Through a variety of exchange arrangements with governments on a world wide basis and international governmental organizations. Subject strengths include demography and population, public administration and finance, statistics and economics. Areas study strengths include Latin America, Africa, and Pac-Pacifica. One of ten Asian Development Bank depositories in the United States and one of 60 Organization for Security and Cooperation in Europe depositories worldwide.
- One of few libraries that catalogs and checks in United Nations Official Records. Since the 1960’s the Boalt Law library has retained all masthead documents issued for the U.N. General Assembly and houses one of the strongest and complete United Nations legal collections in the country.
- Foreign states and provinces; as comprehensively as possible documents from Mexican states; systematically acquire documents from sub-saharan African governments, particularly South Africa and Nigeria.
- The Berkeley Institute for Governmental Studies (IGS) library, a UC affiliated library located on the Berkeley campus, one of the nation's premier libraries of ephemeral materials on American public affairs and policy, with strong coverage of Congress and the presidency, the California state legislature and governorship, and the California local government; an extensive collection of budgets and financial reports, planning documents, ordinance codes from cities and counties across California, and several special collections covering environmental impact reports, campaign literature, congressional district reapportionment data, and election ephemera.

**Davis**

- Historical agriculture
- FAO including unique FAO documents in fiche collection not held by any other UC library.
- Comprehensive agricultural statistics—federal, state, county agricultural commissioners, federal-state market news.
- Energy tech reports from AEC in microprint through ERDA and DOE, NASA technical reports.
- Unique collection of agri-land atlases showing California land ownership of non-subdivided land.
Irvine

- Orange County and cities
- United Nations (1946+)
- CIS Committee Prints (Earliest to 1969)
- CIS Hearings and Reports (1970+)
- San Onofre Nuclear Generating Power Plant documents
- Historical statistics, especially U.S. Census
- CIS American Foreign Policy Documents

Los Angeles

- U.S. Depository since 1932
- Almost complete Serial Set
- One of two historically complete California depositories
- UN documents going back to the beginning, one copy in English of all UN pubs available for distribution, almost complete microfiche set
- EU depository
- Local Depository for cities and counties in California, including codes, budgets, financial reports, planning documents
- Superfund Documents for San Fernando and San Gabriel Valleys
- CIS Hearings on Microfiche back to 1959
- Organization of American States: Microcards from 1948-1960, Microfiche from 1960-present

Riverside

**U.S.**

- Congressional materials in paper
- Administrative law
- Statistical publications
- Law collections
- All editions of CFR
- Old print collections of Federal Register
- All Census publications

**California**

- Legislative publications

**International**

- OECD
- UN
- IMF

San Diego

- Congressional publications:
- Serial Set
- Published and unpublished hearings
- Congressional Record
- Reports and documents
Santa Barbara

- Statistics in all areas
- Historical hearings 1839+ (1839-1969 CIS)
- Documents reflecting environmental, public policy, legislative process
- U.S. maps: comprehensive
- UN docs, 1946+

Santa Cruz

U.S.

- Census
- Legislative
- Presidential Papers
- War of the Rebellion
- Foreign Relations of the United States and Law

California

- Historical hearings
- Environmental
- Agriculture
- Water issues
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*Berkeley, Davis, Santa Cruz
**Irvine, Los Angeles, Riverside, Santa Barbara, San Diego

Data are from the Documents Data Miner and represents the number of unique titles that are available at each campus. In addition data for the number of unique titles for northern and southern campuses are included.