

Presentation Title

National edeposit (NED) – an innovative solution meeting the challenge of capturing and preserving the digital documentary history of Australia

Abstract

NED is an innovative online service for the deposit, archiving, management, discovery and delivery of published electronic material across Australia that will launch in early 2019.

Legal deposit legislation mandates national, state and territory libraries to collect the entire publications of individual jurisdictions. For many years these libraries have built collections of print that provide the documentary history of 19th and 20th century Australia.

In the late 20th century, the arrival of digital media and the internet has been and remains the great disrupter. For libraries, it means that publications are no longer just print. The print formats – books, journals, newspapers, magazines, maps, sheet music – are now available in digital. New digital-only formats proliferate – websites, social media, and blogs.

NED is an exciting collaboration between Australia's nine national, state and territory libraries, responding to the major challenge of capturing and preserving the digital documentary history of Australia for the future.

This presentation will outline the challenges of building both a technology platform and a service collaboratively with nine partners spread across Australia and highlight the technical innovations of the service. It will introduce NED to the library profession, publishers and users demonstrating the benefits of the service.

The Paper

1 Background – Jo

Slide 1

This afternoon Brendan and I are going to introduce you to the National edeposit service (or NED for short). We'll highlight why the national, state and territory libraries decided to work together on this service, the challenges we have faced and some of the innovative solutions that have been developed.

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1.1 Legal Deposit

Legal deposit is a statutory obligation which requires that any organisation, commercial or public, and any individual producing any type of documentation in multiple copies, be obliged to deposit one or more copies with a recognised national institution.

In general, any type of library material, regardless of the format, as long as it is made available to the public and produced in multiple copies, should be an object of legal deposit. This includes all types of print material (books, serials, pamphlets, maps, etc.), most audio-visual material (sound recordings, discs, videos, films, multimedia kits, microforms, etc.) and also electronic material.

So why is legal deposit important?

The International Federation of Library Associations and Institutions [Statement on Legal Deposit](#) outlines the purpose of legal deposit:

- Ensures comprehensive collection of a nation's documentary heritage
- Comprehensive, standardised cataloguing and recording of publications
- Supports preservation – long term survival of documentary heritage
- Fundamental to freedom of information and supports informed citizenry

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The principle of a legal deposit system was first implemented in 1537 when King Francois I of France issued the “Ordonnance de Montpellier.” This royal decree forbade the sale of any book without first having deposited a copy in the library of his castle.

Today, legal deposit has evolved to a point where the aim is not to provide “rulers” or libraries with free copies of publications for whatever reasons, but “to collect, store and make available for the present and the future the sum total of the intellectual and cultural heritage of a country”.

1.2 Legal Deposit in Australia

Slide 4

In this slide you can see the current legal deposit framework in Australia at both a federal and state level.

With the exception of the ACT, it is a statutory requirement that print items published in Australia are deposited with both the National Library and the State or Territory library of the jurisdiction in which the publisher is based. Many states also have audio-visual formats included in their legal deposit legislation.

And for electronic publications, legal deposit provisions are in place in the Commonwealth, Victoria, Tasmania, Queensland and the Northern Territory. New South Wales, South Australia and Western Australia are in the process of extending their deposit obligations to include electronic publications.

In New South Wales, Queensland and South Australia, publishers are also required to deposit publications in parliamentary and university libraries. Further, all material of particular relevance to South Australia, must be deposited with the State Library of South Australia regardless of where it is published.

1.3 Electronic Publications in Australia

Slide 5

In Australia, for close to two hundred years, the evolution of published material formats has had little impact on legal deposit collecting practices. Deposit libraries have individually collected, described, preserved and made accessible these significant collections.

However, in the late 20th century the arrival of digital media and the Internet has been and remains the great disrupter – for both libraries and publishers.

Digital media and the internet has meant an explosion of publishing in online formats and there are significant changes in the way that books are produced, mediated and received. Readers have access to public forums (via social media like Twitter and social reading sites like Goodreads) to express their views, self-published authors working in commercial genres are finding pathways to success outside of mainstream publishers.

1.4 Collecting Electronic Publications in Australia

Slide 6

The challenge of ensuring that electronic publications are available for future generations is technically complex and resource intensive in terms of both systems and staff. The current electronic publications holdings of the national, state and territory libraries are, in general, limited and a slim fraction of what could be added to collections.

This slide shows the number of electronic legal deposit publications collected by the national and state libraries in 2016/2017. Whilst the numbers don't look too bad it is very small slice of what was published in electronic form at that time.

Slide 7

Who is currently depositing electronic publications?

Here is an analysis of publishers who are depositing electronic publications with the national, state and territory libraries as of May 2018.

The largest percentage of publications that are currently being collected are being deposited by community organisations or collected from government.

I'll now handover to Brendan.

2 The Vision – Brendan

Slide 8

In November 2015, there was a vision:

to create a single, sustainable service platform to enable Australia's legal deposit libraries to build a national collection of digital publications so that Australians can understand their diverse social, cultural and intellectual histories, now and in the future.

By 2020, all stakeholders will regard the service as trustworthy, efficient, successful and as a central pillar of NSLA's ongoing and collaborative commitment to collect, preserve, and - within the bounds of the Copyright Act - make accessible the Australian imprint, in physical or digital form.

NSLA stands for National and State Libraries Australia. It is made up of the national, state and territory libraries and enables them to collaborate on initiatives. Its origins go back to 1973.

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This vision was based on recognising that digital collecting required new thinking and processes.

A electronic publication, unlike a print publication, can be collected once and made available in many locations. The potential therefore for libraries to not only share

collecting but also to share the performance of other collection management functions such as description, storage, preservation, and delivery. Sharing both system and human resources, and so enabling the resources saved in this sharing to be dedicated to do further collecting of digital publications and so increase collecting scope.

For publishers, the vision that they need only deposit once to satisfy their digital legal deposit requirements to each of the libraries. There would be no need, as there is for print, to deposit at multiple libraries. This would save publishers time and resources. And once deposited, publishers could be assured that their publications would be preserved over time.

For the public, there would be a greater collection to access

So this was the vision – a shared service that would enable the shared collecting, description, preservation, storage and delivery of Australia’s electronic publications – with benefits for the libraries, the publishers and the public.

3 The Challenges – Brendan

Slide 10

Well that sounds good. How to make the vision real? What were the challenges to this vision?

Before some answers, some orientation – I joined the NED project in July 2016 as the representative from State Library of New South Wales and continue to be the Library’s representative. The challenges articulated here are a personal view of what I see now were and remain the challenges and reflect my role in the project. The NED project was and remains a large project running from 2015 to now and has involved and involves staff from all nine national, state and territory libraries, the NSLA office and dedicated project and IT development teams at the National Library of Australia.

I think challenges as follows, in no order of preference or priority.

3.1 Nine Libraries

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Challenge Number One.

How to work with nine individual libraries in eight different states and territories each having their own priorities, their own structures, their own mandates, their own systems, and their own stakeholders?

3.2 Policies

Challenge Number Two.

How do policies work? Each library has their own policies on what legal deposit materials they wish to collect, their own policies on how to deliver material, their own policies on description storage, preservation and their own policies on privacy. What policies are needed for NED and the shared collecting, description, preservation, storage and access of collection material?

3.3 Systems

Challenge Number Three.

We need systems to do this. A small matter really.

3.4 Stakeholders

Challenge Number Four.

Stakeholder management. Library staff at all levels. The CEOs who make decisions. The Executive. The staff that will do the work. The managers who will assign resources. The reference staff who will need to answer questions. The Government stakeholders. Ministers. Departments. Publishers. The Commercial publishers, the community organisations, the government agencies, the businesses, the individuals all of whom publish digital publications. The Public. Peer libraries.

3.5 Individual Identity & autonomy?

Challenge Number Five.

How to reconcile individual library identity & autonomy with a shared system for collecting? Each library has its own proud well recognised individual identity. For each

library, collecting legal deposit publications is a 'reason for being' activity. In sharing the collecting of digital legal deposit publications, would individual identity be reduced? Would autonomy be lost? Would long-term working relationships with publishers be jeopardised?

4 Addressing the Challenges – Brendan

And now to some answers.

4.1 Nine Libraries

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Challenge Number One.

First answer: NED was developed within the established NSLA framework. NSLA had in place established ways of working across nine libraries – NED followed this path. A NED Steering Group was formed of representatives from each of the NSLA libraries. NSLA CEOs were regularly briefed on NED progress and made key decisions. The NSLA office located at the State Library of Victoria was critical. Wiki's were established. Regular video conferences held. Face to face meetings held 3-4 times a year. To fund the development of the systems – both the development of the systems requirements and the systems themselves – each library contributed in accordance with established NSLA funding models.

Second answer: each library signed late 2017 a NED Deed of Agreement. This Deed establishes NED governance, roles and responsibilities of each of the NED members, articulates the role of the National Library as the service provider, details the financials, provides dispute mechanism, and the cessation of NED. It is the central NED governance document.

Third answer: the process of working, the regular meetings, the documentation of decisions, the consultation, the visibility of decision making, and the recognition that we are all different yet are pursuing the one goal.

These answers are not particularly amazing or innovative. They do though belong in the box marked very very important but not particularly amazing – alongside doors and footpaths – and like doors and footpaths, they can be taken for granted.

4.2 Policies

Slide 13

Challenge Number Two.

Two key principles in making policies work. Firstly, the principle of ‘do we really need this policy?’ Each library has a full suite of policies – let’s not create a policy if there is no need. Secondly, the principle of maintaining library autonomy where we could.

With these principles in mind, NED has developed three policies – a Content Policy, a Publisher Management Policy and a Terms and Conditions.

The Content Policy describes the types of content that will be accepted through NED and how that content will be managed, discovered, accessed and preserved.

Recognising principle two, the Content Policy does not insist upon the exact content to be collected – rather it states publications that satisfy legal deposit legislation will be collected. Nor does it insist upon a descriptive standard.

The Publisher Management Policy defines the engagement between the libraries and Publishers and ensures this is undertaken by one Member or, if to be undertaken by more than one, is coordinated and communication paths clear. The Publisher Management Policy recognises that individual libraries have and will continue to have relationships with publishers on matters other than NED.

The Terms and Conditions states for publishers the terms and conditions to which they must agree to when depositing material to NED.

4.3 Systems

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Challenge Number Three.

A key stage of the NED project was to develop the requirements for the systems. Not one system, many systems, some existing, some to be built, systems in each library.

The requirements were jointly developed and specified in detail the scope for the systems. The requirements were signed off by all members at the same time the NED Deed of Agreement was signed. It is recognised that the full up-front documentation of detailed systems requirements is old school waterfall methodology; however in the NED context, they were important so each member could be exactly sure what system was going to be built.

The last stage of the project, the stage we are now in, is the building of the systems. This has involved a dedicated IT project team situated at the National Library, and a cast of User Acceptance Testers in all the libraries.

Very importantly, the systems build upon the NLA edeposit system which was launched in February 2016. The success of the NLA edeposit system was critical to addressing the challenge of building the NED systems – whilst only used by the NLA, it did demonstrate that publishers could easily deposit publications that could then be made available very quickly.

4.4 Stakeholders

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Challenge Number Four.

Each library has multiple stakeholders. NED has nine times multiple stakeholders. To ensure stakeholders are appropriately advised of NED and in position, as required, to make key decisions, there has been lots and lots of communications. Staff Presentations, CEO Briefings, Council/Board briefings, and Ministerials. Establishment of internal NED working groups comprising both operational staff and managerial staff. An important aspect in managing these stakeholders is that NED has moved logically and progressively from the idea to reality.

4.5 Identity & Autonomy?

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Challenge Number Five.

Identity and autonomy was addressed in a number of ways. One, as identify and autonomy can be nebulous terms, it was important to clarify exactly what was required in practice. Two, the governance arrangements – the NSLA NED Steering Group, the NED Deed – addressed identity and autonomy. Three, the policies, as noted above, provide scope for autonomy.

As an example, to address concerns libraries raised regarding branding and identity, it was clarified what this meant and options as to how it could be addressed. The answer: both branding and text recognition of all libraries involved in NED at various points in the workflow. For example, at the time of deposit, publishers will be presented with the branding of the relevant legal deposit libraries.

Finally, and perhaps most important, each library made its own assessments on whether to join NED – whether to be alone or to share. This involved analysis of costs, benefits and risks. And we all decided to share.

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And here's a footpath. And back to Jo.

5 NED - Jo

Slide 18

So – let's have a look at NED in a bit more detail.

The NED service provides for the deposit, management, storage, preservation, discovery and delivery of published electronic material across Australia.

5.1 How does it work?

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The NED service supports the following options for publishers to contribute content and metadata:

- through the online portal – this slide shows the beta site
- as an email attachment for eNewsletters (upon agreement with the state or territory library of place of publication)
- through bulk ingest processes managed directly by Member Libraries or collaboratively with NLA (primarily for large commercial publishers).

Slide 20

When the NED service is launched the following publication types and formats can be collected:

- Monographs (such as books, government publications, maps and music scores)
- Serials (e.g. journals, magazines, annual reports, newsletters including 'members only' newsletters, newspapers)

Depending on which type of publication is selected the online portal indicates what formats can be uploaded. In this slide, you can see for books, epub, pdf and mobi formats are accepted.

Slide 21

The deposit process requires the provision of publisher information and a range of metadata elements to:

- identify the publisher
- describe the content
- identify access conditions
- apply a Creative Commons licence (if desired)

NED member libraries can enhance the metadata provided by the publisher although this is not a requirement.

The publications will be stored and preserved at the National Library and discovery of publications is through NED member library catalogues and Trove (the national discovery service).

6 System Challenges - Jo

Slide 22

I'm now going to talk about some of the technical innovations of the NED service. These technical solutions respond to some of challenges that have already been outlined.

6.1 Integrations

Slide 23

The NED service automates the flow of data across multiple systems. This slide shows how a digital deposit moves through NED and related systems. Each blue box represents different systems that are integrated to support the data flow and include; digital asset management, preservation, multiple library management systems, and discovery systems including TROVE and WorldCat.

The green line shows the data flow for a monograph publication – the aim is to automate the process as much as possible, reducing the turn around time between deposit by publisher and delivery via TROVE to users to just one day.

6.2 Access and security

Slide 24

The development of different access options and a secure delivery system aims to balance the dual goals of providing the broadest access possible to users with the need to support the commercial viability of Australian publishing.

The online deposit process requires the selection of one of the access conditions in the table on this slide. These range from the broadest which is openly on the internet, to the most restrictive, which is onsite view only access at the National Library and applicable state/territory library.

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The National Library as the host of the NED service will securely store all deposited publications in accordance with government security standards and requirements.

Where publishers have selected view-only access for their publications, a Citrix product - Secure Browser – delivers these publications via a secure viewer that does not permit downloads, file transfer, saving, copying or printing.

6.3 Email Deposit

Slide 26

NED provides several deposit options for publishers which respond to the needs and practices of the incredibly wide spectrum of publishers across Australia.

As mentioned earlier, community organisations are the top contributor of electronic legal deposit and many of these are e-newsletters distributed via an email distribution list. State and territory library's legal deposit email addresses are just one of many emails on those lists.

Knowing that it would be difficult to transition many of these organisations to use the deposit portal (they often have little or no resourcing) and recognising that these publications represent a significant component of the legal deposit collecting by state and territory libraries, an innovative process has been developed to semi-automate the ingest of electronic serials that are emailed as pdf attachments or are online newsletters.

7 What Happens Next? – Jo

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Our priorities over the next few months include:

1. Finalising the technical development of the system, training, developing procedures
Completing the end to end testing of the system and resolving as many outstanding issues as possible. We have commenced the training of library staff in the member libraries and the development of procedures and workflows.

2. Communication with publishers

We are working with peak publishing bodies such as the Australian Publishers Association and the Small Press Network to provide information about how NED is developing and to understand areas of concern.

We are responding to these through information in newsletters, attending sectoral meetings and presenting at conferences (like today).

Plans for the migration into NED of existing electronic legal deposit collections at member libraries has commenced. As this work progresses member libraries will be communicating with their existing depositing publishers to notify and outline the implications of moving to the NED service.

3. Post Launch of the NED Service

After the launch of NED an Operations Group will monitor the service to trouble shoot any problems that might arise as well as reviewing any outstanding issues or enhancements that were not resolved prior to launch.

And finally, we need to start planning for further development of NED.

This may include:

- expanding the range of publication types and formats that can be deposited to continue to build our collections.
- extending NED to include other legal deposit libraries.