

# IMPLEMENTATION PLAN

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## SOUTHEAST REGION GUIDELINES FOR MANAGEMENT AND DISPOSITION OF FEDERAL DEPOSITORY LIBRARY COLLECTIONS

**D R A F T**

**FOR APPROVAL AT THE  
ASERL SPRING MEMBERSHIP MEETING  
APRIL 2011**



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## SOUTHEAST REGION GUIDELINES FOR MANAGEMENT AND DISPOSITION OF FEDERAL DEPOSITORY LIBRARY COLLECTIONS

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## I. Background

In November 2009, deans and directors from ASERL<sup>1</sup> member institutions that serve as regional or selective Federal Depository Libraries affirmed that the federal documents collections in the Southeast Region<sup>2</sup> are valuable assets for the holding library and the state where each collection is located. They also acknowledged that these collections are an asset to the Southeast Region and agreed to plan collectively for management of federal documents held by ASERL libraries, in collaboration with other Federal Depository Libraries in the 10 state region represented by ASERL, as well as the U.S. Virgin Islands and Puerto Rico.<sup>3</sup>

There is also agreement within ASERL that the best means of providing broad public access to these collections is through online access to digital and digitized copies. Management of the tangible collections should include efforts to support or participate in initiatives to create a comprehensive, authentic digital collection in the public domain. This will complement efforts to manage the tangible collections held by depository libraries in the Southeast Region.

One objective for improved management of the tangible collections is to gain consensus on policies and best practices for disposition of federal documents that will simplify and streamline the process and address collection management throughout the Southeast Region, while remaining in compliance with 44 U.S.C. Chapter 19, the statute governing the Federal Depository Library Program.

On April 22, 2010, a Discussion Draft<sup>4</sup> document was reviewed and the proposal was adopted unanimously by ASERL library deans and directors at the ASERL Spring Membership Meeting in Atlanta, Georgia. This document was then released to Federal Depository Libraries in the Southeast Region, as well as others with an interest in the FDLP and public access to government information, in order to obtain their comments and suggestions. Simultaneously, ASERL launched an online survey to gather comments on specific aspects of the proposal. The survey was open through mid-July 2010.<sup>5</sup> In August 2010, ASERL hosted a Summit in Atlanta to review the survey results and other comments. Open issues that required further discussion were identified. The resulting recommendations were reviewed by the ASERL Deans' FDLP Task Force, which agreed on appropriate resolution of the open issues. These revisions were

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<sup>1</sup> The Association of Southeastern Research Libraries (<http://www.aserl.org>), also known as ASERL, is the largest regional research library consortium in the United States. Its members are academic research libraries from Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee and Virginia. Its mission is to foster a high standard of library excellence through inter-institutional resource sharing and other collaborative efforts. By working together, ASERL members provide and maintain top quality resources and services for the students, faculty, and citizens of their respective communities.

<sup>2</sup> For purposes of this proposal, the Southeast Region is defined as Alabama, Florida, Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee and Virginia, as well as Puerto Rico and the U.S. Virgin Islands because of their affiliation with the University of Florida. Approximately 20% of all Federal Depository Libraries are in this region. This includes 12 regional depository libraries and 248 selective depository libraries, of which 180 are academic libraries, 31 are public libraries, 8 are state libraries, and 41 are academic or state law libraries.

<sup>3</sup> The University of Florida serves as the Regional Federal Depository Library for Puerto Rico and the U.S. Virgin Islands, so the selective depository libraries in those jurisdictions will be included in the ASERL initiatives for collective management of federal documents.

<sup>4</sup> The Discussion Draft is available at <http://bit.ly/aouKhe> and the Executive Summary is available at <http://bit.ly/q9e8y7>.

<sup>5</sup> The survey results are available at <http://svy.mk/hBq4T1>.

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then accepted at the ASERL Fall Membership Meeting in Raleigh, North Carolina, on November 18, 2010.

The following pages present the common set of collection management and disposition policies and procedures, as well as documented best practices, that were developed through this process. Some aspects of the plan have already been implemented. Others are still in the early stages of implementation. Full implementation is likely to take several years. ASERL will issue periodic reports on the progress and document any changes in these guidelines that are identified during the implementation process.

## II. Planning for Federal Documents Collections in the Southeast Region

It is well understood and widely accepted that there is considerable variance in the holdings of Regional Depository Libraries. There are many reasons for these differences, including the date for becoming a Federal Depository Library; the date for becoming a Regional Depository Library; items never received; items lost, stolen or destroyed; etc. Planning for regional federal documents collections is made more difficult by the fact that most pre-1976 documents are not cataloged, making it difficult to compare holdings and assure comprehensive collections. Selective Depository Libraries currently make decisions about disposition of items without the assurance that the items they discard are and will remain available through other depository libraries in the region.

Although Regional Depository Libraries are not required by law to build retrospective collections or to replace items that are lost, stolen or damaged by a disaster, individual Regional Libraries may seek to replace missing items or build their retrospective collections to meet institutional, local, state or regional needs.

### 1. Defining a Comprehensive FDLP Collection

A major obstacle to establishing comprehensive collections at Regional Depository Libraries is the absence of a clear definition of what constitutes a **comprehensive FDLP collection**. In general, the scope of a comprehensive FDLP collection is considered to be all publications distributed as part of the Federal Depository Library Program (FDLP) and its predecessor programs. However, there are “fugitive documents” that were within the scope of the program, but were not distributed for various reasons as well as items that were exempt from the program, but which have historical and research value. Some of these publications have become part of Regional Depository Library collections through means other than distribution by the Superintendent of Documents.

Example 1: The Patent and Trademark Office has its own depository program that distributes materials independent of the FDLP and the Atomic Energy Commission used to have its own depository program. Some Federal Depository Libraries participated in these agency specific programs and therefore have collections of the publications from those agencies that are not within the scope of a comprehensive FDLP Collection.

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Example 2: Historically, publications from regional offices of federal agencies were often fugitive documents. However, those regional offices frequently distributed their publications to local libraries, including Federal Depository Libraries.

Example 3: Contractor reports and other results of federally funded research were not consistently made available through the FDLP, but some research libraries actively acquired these materials and have them in their collections.

There is a strong consensus that the Superintendent of Documents should support management of depository collections by identifying or creating cataloging records for the retrospective (pre-1976) publications that are included in the FDLP. This would provide an official definition of the contents of a comprehensive FDLP collection, both for management of tangible collections and for digitization. Depository Libraries could augment this set of records by creating records for relevant items they have obtained from other sources, though these would not necessarily become part of the official comprehensive FDLP collection.

While it will be less expensive for Regional Depository Libraries in the Southeast to catalog and inventory their tangible federal documents collections when a comprehensive set of cataloging records is available from the Superintendent of Documents, it will remain a significant expense and therefore a goal that may take many years to accomplish.

Cataloging and inventorying the tangible federal documents collections would also result in the identification of items that are missing from the collections in Regional Depository Libraries. However, acquisition of all missing items, assuming a library holding those items and willing to transfer them could be identified, is also an expense beyond the resources of the Regional Depository Libraries in the southeast. Consequently, these guidelines establish an alternative approach to establishing comprehensive federal documents collections in the Southeast Region.

## **2. Establishing Comprehensive FDLP Collections in the Southeast Region**

Recognizing that no Regional Depository Library in the southeast currently has the resources to catalog and inventory its entire federal documents collection, or acquire all relevant documents missing from its collection, the Regional Depository Libraries agree that it is essential to improve the management of these important collections by collaborating to transform twelve poorly documented and incomplete collections into the equivalent of two well documented, comprehensive FDLP collections. This will ensure that the region includes at least two complete cataloged sets of print publications and maps<sup>6</sup> distributed as part of the Federal Depository Library Program and, to the extent possible, its predecessor programs. Libraries may choose to include additional materials beyond the scope of the FDLP.

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<sup>6</sup> There are microfiche that were distributed by GPO as the sole distribution media for some titles. If these materials were microfilmed by GPO, silver master microfiche were provided to the Library of Congress and the National Archives and Records Administration (NARA). If they were provided by other federal agencies, such as the U.S. Department of Energy Office and Scientific and Technical Information (OSTI), that agency remains responsible for archiving those materials directly or through NARA. Some agencies, including OSTI, are systematically digitizing the materials for public access. The distribution microfiche were provided to Federal Depository Libraries as access, not preservation, copies. At this time, the only institutions that will attempt to collect microfiche comprehensively will be the Centers of Excellence for specific agencies (see VI.4.A for microfiche disposal instructions).

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**This does not imply that there will only be two Regional Depository Libraries in the Southeast Region.** Rather, it means that among the Regional Depository Libraries in the southeast there will be collaboration to take responsibility for cataloging and inventorying a portion of the collection and for retrospectively acquiring the items necessary to make that portion as complete as possible within the limitations of available content and resources. Responsibility for portions of these comprehensive collections may be shared by Selective Depository Libraries in the southeast. This is a major effort that will require many years.

The following guidelines will be followed in this effort:

## **A. Preference for Original Printed Documents**

Due to concerns about the lack of availability of preservation-quality microforms, wherever possible an original printed document will be obtained. When that is not possible, an effort will be made to obtain a print facsimile. When the original documents are not available in print, links to or locally hosted digital reproductions that are available in the public domain with stable links may substitute for original printed documents to ensure access.

## **B. Retention of Superseded Publications**

While the Superintendent of Documents permits Regional Depository Libraries to discard superseded publications, the Regional Libraries will in the Southeast Region agree to begin keeping at least two print copies of each superseded item to ensure that these materials will be available for historical research and other purposes, including future digitization. This will begin with a voluntary review of superseded items and a determination of which Regional Libraries already have significant historical collections of superseded items and are willing to expand them into comprehensive, cataloged sets. If none of the Regional Libraries have retained the superseded titles in print, an effort will be made to obtain the titles from Selective Depository Libraries or, alternatively, to ask a Selective Depository Library in the southeast to commit to maintain its print collection in perpetuity or turn it over to a Regional Library when that is no longer possible.

Example 1: The *Code of Federal Regulations* (CFR) is superseded each year as updated titles are published. Yet there is significant historical and legal value in knowing what regulations were in place at a given point in time. Maintaining at least two complete print sets of the historical CFR volumes in the southeast will ensure future availability.<sup>7</sup>

## **C. Substitution of Microfiche and Commercial Products**

Although the Superintendent of Documents allows the selection of microfiche in lieu of print for some titles and permits the substitution of commercial products for equivalent depository items, the Regional Depository Libraries in the Southeast Region agree to keep at least two print copies of each official federal publication distributed by the FDLP to ensure that this material will be available for historical research and other purposes, including future digitization. This responsibility will be shared through a voluntary review of dual distribution

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<sup>7</sup> Both the Law Library of Louisiana and the University of Florida Legal Information Center (LIC) are Selective Depository Libraries that have complete retrospective collections of the CFR and are willing to maintain them as part of this initiative. The LIC will transfer its set to storage as part of the Florida regional depository collection if it becomes necessary to remove it from the library at some future time.

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items and commercial products that may have been substituted for official print publications to determine which Regional Libraries already have significant historical collections of official print items and are willing to expand them into comprehensive sets. Alternatively, a Selective Depository Library in the southeast may have such items and be willing to maintain them.<sup>8</sup>

Example 1: Congressional hearings are offered by GPO in both print and microform and Regional Depository Libraries are permitted to select either format. Hearings are also available in microfiche from commercial and not-for-profit sources and Regional Depository Libraries are permitted to substitute those products for either print or microform received through the Federal Depository Library Program. Maintaining at least two complete print sets of the historical hearings through Regional Libraries in the southeast will ensure future availability.

### III. Centers of Excellence

The effort to develop comprehensive distributed federal document collections in the Southeast Region has already begun, with the assistance of an IMLS grant.<sup>9</sup> In 2006 and 2008, three Regional Depository Libraries in the southeast agreed to become Centers of Excellence for specific federal agencies. As such, they are cataloging and inventorying their holdings for those agencies and conducting research to identify other publications from those agencies that are missing from their collections. The Centers have committed to obtaining the missing items, if possible, in order to establish a comprehensive collection of publications from these agencies as a resource for their own university, the state and for the Southeast Region. In addition, the University of Florida has committed to the digitization and provision of online public access to the documents in its Center of Excellence collection.<sup>10</sup>

Other Depository Libraries in the southeast can use the cataloging records and inventory of missing items created by the Centers of Excellence to evaluate and catalog their own holdings. This will help to identify publications missing from the collections at the Centers of Excellence as well as to document holdings for those agencies throughout the region.

Missing items from the Center of Excellence collections will become priority needs for the Southeast Region and the Regional Depository Libraries in the southeast will give priority to transfer of those items to the responsible Center of Excellence (See Section VI.2 below for an explanation of the disposition policy with respect to Centers of Excellence).

The three initial Centers of Excellence are:

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<sup>8</sup> Dual distribution items include several very large sets of publications such as House and Senate hearings. It is not necessary that a single library retain all print hearings. The responsibility could be shared among a number of regional and selective depository libraries. For example, a library that is building a comprehensive retrospective collection for the Department of State may be willing to maintain the House and Senate hearings for the oversight and appropriations committees for that department, but may not wish to retain hearings from other committees.

<sup>9</sup> IMLS National Leadership Grant LG-07-09-0095-09 is funded from October 1, 2009, through September 30, 2012.

<sup>10</sup> Centers of Excellence are encouraged to optimize the use of digitized government documents in Hathi Trust and available from other stable public domain sources. Centers are encouraged to digitize items within their areas of responsibility when a stable public domain source is not available, but this is a voluntary activity.

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1. Works Progress Administration<sup>11</sup> and related agencies: The University of Kentucky is a Center of Excellence for the Works Progress Administration (WPA) and its related agencies and is systematically collecting and cataloging all federal documents from those agencies.
2. Department of Education: University of South Carolina is a Center of Excellence for the Department of Education, excluding documents distributed by the Education Resources Information Center (ERIC), and is systematically collecting and cataloging all federal documents from that agency.
3. Panama Canal Commission and related agencies: The University of Florida is a Center of Excellence for the Panama Canal Commission and its predecessor agencies and is systematically collecting, cataloging and digitizing all federal documents from those agencies, as well as other federal documents about Panama and the Panama Canal.

Since 2010, other Federal Depository Libraries in the Southeast Region have agreed to become Centers of Excellence for specific agencies or subagencies<sup>12</sup>. In several instances Centers of Excellence have been identified by format<sup>13</sup> or by subject matter<sup>14</sup>.

Although the initial effort to establish Centers of Excellence has been focused on identifying a single comprehensive collection for each agency, the expectation is that this initiative will lead to identification of another strong collection in the Southeast that could become the second comprehensive set for each agency. The effort to identify Centers will continue until commitments have been obtained for comprehensive coverage of the FDLP collections. A master list documenting the commitments, both tentative and final, is being maintained by ASERL.<sup>15</sup>

## IV. Borrowing and Lending

There is a strong preference for responding to requests to borrow Federal Documents with digital delivery through systematic or on demand digitization and the use of stable public domain copies from other sources. Lending print publications will be decided on a case by case basis by the lending institution, recognizing that some items are truly rare or fragile.

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<sup>11</sup> The Works Progress Administration was renamed the Work Projects Administration during 1939.

<sup>12</sup> Louisiana State University has agreed to be a Center of Excellence for the U.S. Army Corps of Engineers, but not for the entire Department of Defense or even the entire U.S. Army.

<sup>13</sup> The University of Georgia has agreed to serve as a Center of Excellence for maps, regardless of the publishing agency.

<sup>14</sup> Florida International University has agreed to serve as a Center of Excellence for federal documents relating to the Everglades, regardless of the publishing agency.

<sup>15</sup> The master list of Centers of Excellence is available at <http://bit.ly/gmtUGM>.

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ILL fees should be waived for requests from any libraries in the Southeast Region (including Puerto Rico and the U.S. Virgin Islands) **if, and only if**, the requesting library clearly identifies the requested item as a Federal Government Document.<sup>16</sup>

## V. Disposition of Federal Documents: Basic Provisions

### 1. Legislative Requirements

The statute governing retention and disposition of print and other tangible materials distributed to **selective depository libraries** is 44 U.S.C. 1912, which states:

The libraries designated as regional depositories may permit depository libraries, within the areas served by them, to dispose of Government publications which they have retained for five years after first offering them to other depository libraries within their area, then to other libraries.

Under the same statute, **regional depository libraries** must:

...retain at least one copy of all Government publications either in printed or microfacsimile form (except those authorized to be discarded by the Superintendent of Documents).

### 2. Retention by Selective Depository Libraries

Selective Depository Libraries must retain all tangible receipts from the Federal Depository Library Program for **at least five years** before they may be discarded. The five years is to be measured from the date of receipt, regardless of the date covered or date published.

These retention requirements only apply to materials distributed by the Superintendent of Documents as part of the Federal Depository Library Program, including discards obtained from other Federal Depository Libraries and publications held under selective housing agreements.<sup>17</sup> These materials remain Federal property, on deposit with the holding library. The retention requirements **do not apply** to federal documents obtained from other sources, such as direct distribution from a federal agency or purchase from the GPO Sales Program, nor do they apply to superseded items.

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<sup>16</sup> Federal Depository Libraries in the Southeast Region usually waive interlibrary loan (ILL) fees for government documents when requests are submitted to or through the government documents department/staff. With the increase in automated ILL services, more and more requests are being routed to or through the interlibrary loan department/staff. Staff in centralized ILL offices cannot be expected to accurately identify Federal Government Documents and it is not appropriate to increase their workload by asking them to research a request to determine if it is for a Federal Document. Therefore, the burden of correctly identifying the item as a Federal Document in order to obtain a waiver of the ILL fee should fall on the borrowing/requesting institution. Specific procedures will need to be developed and promulgated to inform borrowers and lenders where and how to include this information.

<sup>17</sup> A regional or selective depository library may transfer a portion of its current or retrospective collection to another library, institution, or agency through an arrangement called a *selective housing agreement*. The receiving library agrees to fulfill the depository obligations for the collection, including public service, disposition and retention. A formal agreement between the parties must be signed unless both are part of the same administrative structure. A copy of the signed agreement must be provided to the Superintendent of Documents.

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Selective depository library collections are primarily managed to meet institutional and local community needs, which are usually considered to be those of individuals and institutions in the U.S. Congressional District. However, statewide and Southeast Region needs should also be considered when making retention and disposition decisions.

### 3. Disposition by Selective Depository Libraries

Selective depository libraries are **not** required to dispose of documents. It is an optional part of their collection management.

To comply with 44 U.S.C. 1912, disposition lists are prepared to notify other depository libraries within the Southeast Region, whether regional or selective, of the intention to remove the material and to provide the opportunity for those libraries to acquire material that is of interest for their collections.

### 4. Relationship of Regional and Selective Depository Libraries

This Implementation Plan does not abrogate the responsibility of a Regional Depository Library to consult with Selective Depository Libraries in its state or under its purview on matters of depository collection development, retention, disposal, and disposition.<sup>18</sup> Each Selective Depository Library in the Southeast Region should still discuss significant changes in its depository status or collection management, including major weeding projects, with its Regional Depository Library and should take advantage of the Regional Library's knowledge and expertise in depository matters. Each Regional Depository Library will assist its Selective Depository Libraries with interpretation and implementation of this Plan.

## VI. Disposition of Federal Documents: Approved Process

These disposition procedures apply to Selective Depository Libraries in the Southeast Region and may also be used by Regional Depository Libraries disposing of duplicate and superseded copies.

### 1. Content of Disposition Lists

Depository Libraries in the Southeast Region wishing to discard tangible documents must prepare a Disposition List containing the following information:

- i. SuDoc Number (or SuDoc Stem, if multiple items);
- ii. Title (or Series Title, if multiple items)
- iii. Date (or Date Range, if multiple items);
- iv. Superseded Status, only if superseded;
- v. Format; and
- vi. Condition

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<sup>18</sup> Regional Depository Library services to Selective Depository Libraries in their state or under its purview extend well beyond collection management and disposal consultations. Information about additional services provided by Regional Depository Libraries is available in Chapter 12 of the Federal Depository Library Handbook (<http://www.fdlp.gov/administration/handbook>).

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Other descriptive information can be provided using an optional comment field.

Example 1:<sup>19</sup>   A 13.36/2-6:R 10-RG-125 Tongass National Forest: Juneau area trails guide. 2000.

Example 2:<sup>20</sup>    AE 2.109: Weekly Compilation of Presidential Documents. January 07, 1991 [through] October 30, 2000.

A Disposition List can be posted by completing a web form for each item or including multiple entries in a spreadsheet and uploading the spreadsheet to the Disposition List area in the ASERL Documents Disposition Database described in Section VI.2 below. The database will automatically collect and display the contact information (Name, E-Mail Address, Phone Number, and Institution).

An entry in the ASERL Documents Disposition Database may be for a single item or for multiple items from the same SuDoc Stem. Requesting libraries are not required to take all items from a multi-item entry, though preference may be given to a library seeking an entire group or series of documents. The requesting library should contact the disposing library to identify the specific publications that are sought from a multi-item entry. If a library requests one or more items from a multi-item listing, the disposing library should update the comment field to reflect which items are no longer available.

## 2. ASERL Documents Disposition Database, Phase I

Disposition lists will be posted to a shared online application, the ASERL Documents Disposition Database,<sup>21</sup> for 45 days. For the first 15 days, only the Centers of Excellence will be able to request items. During the next 15 days, both Centers of Excellence and Regional Depository Libraries in the Southeast Region will be able to request items that continue to be available. For the final 15 days, all Depository Libraries in the Southeast Region will be able to request items that continue to be available.<sup>22</sup>

After 45 days, the offering library may discard any items not requested by another library within the Southeast Region, unless the items are rare or likely to be of significant interest beyond the region and therefore should be included in the national Needs and Offers List maintained by the Superintendent of Documents (See Section VI.4.C below.)

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<sup>19</sup> This is a sample disposition record for a single item. Note that the blue globe signifies that the item is a map. The green dot next to the globe signifies that the item is in good condition.

<sup>20</sup> This is a sample disposition record for a multiple issues of single title. Note that the initial S indicates a superseded item. The image of a page indicates that it is a printed document. The green dot next to the image of a page signifies that the item is in good condition.

<sup>21</sup> The University of Florida has established, and is hosting, a software application to manage the disposition lists for the Southeast Region. The software was made available for use in Florida, Puerto Rico and the U.S. Virgin Islands in January 2011 and will be made available to other states in the region as they become ready to implement it. A LibGuide describing the software and its use is available at: <http://guides.uflib.ufl.edu/ASERL-DispositionDB>.

<sup>22</sup> Initially, Centers of Excellence will be on the honor system to only select materials from their areas of responsibility during the first 15 days, since the software will not be able to limit what they take to specific SuDoc stems, formats or topics. In Phase II, the software should be able to allow all libraries to view all items from the time they are posted. Regionals or Selectives who see an item they wish to obtain, but are not yet eligible to select it, could immediately "request" that item, but their request would be held until the 15 or 30 days had elapsed, then the first library to "request" the item would receive it if it was still available. Effectively this puts the item on a watch list, to be acquired at the appropriate time if a library with a higher priority has not already taken it.

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## **A. Disposition Priorities: Centers of Excellence**

In order to build comprehensive collections at the Centers of Excellence, the Centers will have the highest priority for access for documents offered on any disposition list that is from the agencies, in the format or on the topic for which they have undertaken responsibility. They will have access for 15 days before the items become available to Regional Depository Libraries. The Centers of Excellence will not have priority for publications from other agencies, in other formats, or on other topics until those items are available to them under the general priorities.<sup>23</sup>

## **B. Disposition Priorities: Regional Depository Libraries**

In order to support strong regional collections, the Regional Depository Libraries in the Southeast Region have the second highest priority for all documents offered on any disposition list. This is a shared priority, with no preference being given to the Regional Library with direct responsibility for the specific Selective Depository Library that is discarding the items. They will have access for 15 days after the Centers of Excellence and before the items become available to Selective Depository Libraries. Selective Depository Libraries that are Centers of Excellence may continue to select items within their areas of responsibility during this 15 day period.

## **C. Disposition Priorities: Selective Depository Libraries**

Selective Depository Libraries in the Southeast Region have the lowest priority for documents offered on any disposition list. This is a shared priority, with no preference being given to a Selective Depository Library in the same state as the one that is discarding the items. They will have access for 15 days after the Centers of Excellence and Regional Depository Libraries times have elapsed. Centers of Excellence and Regional Depository Libraries may continue to select items during this final 15 day period.

## **D. Conflicting Priorities**

The ASERL Documents Disposition Database will accept the first authorized request that is received and, once requested, the item will cease to display as available for selection. In the event that two or more libraries wish to obtain the same item, the documents coordinators should contact one another. If possible, the library that receives the item should consider digitization, or loaning the item to the other library for digitization, to ensure access through both collections.

## **3. ASERL Documents Disposition Database, Phase II**

The ASERL Documents Disposition Database does not currently include the capability to accept a list of needed documents from a library (Needs List) and then match those needs to new offers as they are submitted. That capability is planned for Phase II of the software development, which is anticipated for release in the summer of 2011. As Centers of Excellence catalog and inventory their collections and research the publications issued by the agencies (or in the formats or on the topics) for which they are responsible, they will generate lists of specific

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<sup>23</sup> For example, during the period when offers are open to Centers of Excellence, the University of Georgia could select any map that is offered, but could not select any non-map offers until those items are made available for selection by Regional Depository Libraries. Similarly, Florida International University could select any map or document relating to the Everglades during the period when offers are open to Centers of Excellence, but could not select any other materials until those items are made available for selection by Selective Depository Libraries.

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documents that they need to acquire to make their collections complete. Regional and Selective Depository Libraries may also generate Needs Lists as they identify items that are missing from their collections that they wish to acquire.

The Needs Lists will be searchable and browseable.

Section VII below addresses the development of federal document collections in the Southeast Region using the Needs List capability of the ASERL Document Disposition Database.

## 4. Special Provisions and Exceptions

These exceptions will **not** apply if the materials are listed in the Needs Lists section of the ASERL Documents Disposition Database (See Section VI.3 above and Section VII below).

### A. Microfiche Exception

Selective Depository Libraries in the Southeast Region may discard microfiche copies of depository documents after they have been retained for 5 years (or superseded) without offering them on disposition lists, although the ASERL Documents Disposition Database does permit posting microfiche and institutions withdrawing large sets are encouraged to see if a Center of Excellence<sup>24</sup> for that agency needs anything from their sets. In the future, the ASERL Documents Disposition Database will include a Needs List capability (See Section VI.3 above and Section VII below), so libraries discarding microfiche can, and should, check to see if a Center of Excellence (or any other library) is seeking specific microfiche or microfiche sets before discarding them.

### B. Superseded Documents Exception

Selective Depository Libraries in the Southeast Region may discard depository documents after they have been retained for 5 years without offering them on disposition lists when they conform to guidance on superseded items issued by the Superintendent of Documents. In the future, the ASERL Documents Disposition Database will include a Needs List capability (See Section VI.3 above and Section VII below), so libraries discarding superseded items **can, and should**, check to see if a Center of Excellence<sup>25</sup> (or any other library) is seeking specific superseded documents before discarding them.

### C. Rare or Significant Publications Exception

Rare or otherwise significant publications that are not selected by libraries within the Southeast Region using the process noted above should be included in the national Needs and Offers List<sup>26</sup> maintained by the Superintendent of Documents. This will automatically apply to items with publication dates prior to 1907.<sup>27</sup> Each Regional Depository Library within the Southeast Region will advise the discarding selective depository within its state or under its purview when to use the national list for publications issued during or after 1907.<sup>28</sup>

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<sup>24</sup> The master list of Centers of Excellence is available at <http://bit.ly/gmtUGM>.

<sup>25</sup> Ibid.

<sup>26</sup> The National Needs and Offers List is available at [http://www.access.gpo.gov/su\\_docs/fdlp/tools/needs\\_of/index.html](http://www.access.gpo.gov/su_docs/fdlp/tools/needs_of/index.html).

<sup>27</sup> The number of libraries participating in the FDLP increased substantially in 1907 with the admission of land grant institutions. Therefore, there are more libraries with copies of publications from 1907 forward. The relative scarcity of items published prior to 1907 makes those documents appropriate for posting on the national Needs and Offers List.

<sup>28</sup> Overtime, as these recommendations are made and documented, the Regional Depository Libraries in the southeast may issue specific guidelines with respect to some categories of publications issued during or after 1907.

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National disposition lists are posted for 30 days, so the library disposing of materials that are submitted to the National Needs and Offers List will need to retain the publications an additional 30 days, unless the items are requested by another library prior to that time.<sup>29</sup>

## 5. Disposal

Failing to find a recipient after complying with these instructions, the Selective Depository Library may dispose of the documents in any appropriate manner, including transfer to public, school, or other non-depository libraries in their area.

All publications weeded from the depository collection should be clearly marked as "withdrawn" by the offering library prior to any disposition.

## 6. Shipping Charges for Items Acquired Through the Disposition Process

Shipping charges up to \$50 per shipment to a single library are usually the responsibility of the disposing library. Payment of shipping costs in excess of \$50 per shipment to a single library may be negotiated. Existing intra- and inter-state delivery services should be used whenever possible to avoid or minimize shipping costs. The receiving library may be asked to provide shipping labels for multi-box shipments.

## 7. Cataloging of Items Acquired Through the Disposition Process

All 12 Regional Depository Libraries in the southeast and all Selective Depository Libraries that are ASERL members are **required** to catalog all items acquired through the disposition process. Selective Depository Libraries in the Southeast Region are **strongly encouraged**, but not required, to catalog all items acquired through the disposition process; however, those that serve as Centers of Excellence are required to catalog all items acquired through the disposition process that fall within their areas of responsibility.

## VII. Development of Federal Document Collections: Approved Process

The approved disposition process described in Section VI. above is complemented by a more robust acquisition process to support the efforts of Federal Depository Libraries in the Southeast Region to obtain items needed for their collections. This process can be used by Centers of Excellence and other Regional and Selective Depository Libraries in the southeast to enhance their collections.

Using the Needs List capability of the ASERL Documents Disposition Database, Phase II, described in Section VI.3 above, Depository Libraries will affirmatively identify their needs and Selective Depository Libraries will check their planned dispositions against those needs with the assistance of the software.

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<sup>29</sup> UF will work with GPO to determine if appropriate items can be uploaded to the National Needs and Offers List from the ASERL Documents Disposition Database to avoid redundant data entry.

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## 1. Content of Needs Lists

In general, Needs Lists will require more detail than disposition lists in order to identify clearly the item(s) sought. A Needs List should contain the following information for each item sought:

- i. SuDoc Number;
- ii. Title;
- iii. Date;
- iv. Superseded Status, if seeking a superseded item; and
- v. Format

Other descriptive information, such as Report or Series Number, if available, should be provided using the optional comment field.

Centers of Excellence will also be asked to identify items in their Needs Lists that are for their areas of responsibility, rather than merely for the general collection interests of their libraries, so these items can be given priority.

A Needs List can be posted by completing a web form for each item or including multiple entries in a spreadsheet and uploading the spreadsheet to the Needs List area in the ASERL Documents Disposition Database described in Sections VI.2 and VI.3 above. The database will automatically collect and display the contact information (Name, E-Mail Address, Phone Number, and Institution).

## 2. Needs List Processing

Once the Needs List capability is available, the ASERL Documents Disposition Database will use an overnight batch process to review Disposition Lists and match the offers with the items included in posted Needs Lists until those needs are met or removed.

If there is a **potential match** of an item or items in a Needs List, the software will notify the contact for the Needs List. It is then the responsibility of that individual to determine whether or not there is a valid match. This may be determined by reviewing the entry in the online Disposition List or by contacting the library that posted the Disposition List.<sup>30</sup>

### A. Needs List Priorities: Centers of Excellence

In order to build comprehensive collections at the Centers of Excellence, the Centers will have the highest priority for obtaining documents on their Needs Lists that are from the agencies, in the format or on the topic for which they have been assigned responsibility. When a new Disposition List is posted, the ASERL Document Disposition Database software will seek to match items from that Disposition List with items on the Needs Lists posted by Centers of Excellence and notify the Centers of potential matches. As with the basic Disposition List Process described in Section VI.2.A above, the Centers will have 15

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<sup>30</sup> For example, if Library X is discarding House Commerce Committee Hearings from 1960 to 1980, and UF (as a COE for Hearings) has listed 3 specific hearings from that committee during those years that it needs, UF would be notified that there was a discard list that might cover items it needs. UF would then contact the Library X to see if the specific items are available. If one or more items are available, UF would request those items and remove them from its Needs List. Library X would update its Disposition List by noting in the comment field that those items were no longer available.

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days to respond to notices about items that may fulfill their needs before the items become available to Regional Depository Libraries.

## **B. Needs List Priorities: Regional Depository Libraries**

In order to support strong regional collections, the Regional Depository Libraries in the Southeast Region have the second highest priority for obtaining documents on their Needs Lists. This is a shared priority, with no preference being given to the Regional Library with direct responsibility for the specific Selective Depository Library that is discarding the items. Fifteen days after a Disposition List is posted, the ASERL Document Disposition Database software will seek to match items from that Disposition List with items on the Needs Lists posted by Regional Depository Libraries and notify the Libraries of potential matches. As with the basic Disposition List Process described in Section VI.2.B above, they will have 15 days to respond to notices about items that may fulfill their needs before the items become available to Selective Depository Libraries.

## **C. Disposition Priorities: Selective Depository Libraries**

Selective Depository Libraries in the Southeast Region have the lowest priority for documents requested on their Needs Lists. This is a shared priority, with no preference being given to a Selective Depository Library in the same state as the one that is discarding the items. Thirty days after a Disposition List is posted, the ASERL Document Disposition Database software will seek to match items from that Disposition List with items on the Needs Lists posted by Selective Depository Libraries and notify the Libraries of potential matches. As with the basic Disposition List Process described in Section VI.2.C above, the libraries will have 15 days to respond to notices about items that may fulfill their needs before the Disposition List expires.

As noted in Section VI.2.D above, the ASERL Documents Disposition Database will accept the first authorized request that is received and the item will cease to display as available for selection.

## **VIII. ASERL Deans' FDLP Task Force**

These guidelines were developed by the ASERL Dean's FDLP Task Force, with the assistance of ASERL Executive Director John Burger. The members of the Task Force are:

Judy Russell, University of Florida (Chair)  
Larry Boyer, East Carolina University  
Bonnie MacEwan, Auburn University  
Sarah Michalak, University of North Carolina, Chapel Hill  
William Potter, University of Georgia  
Lance Query, Tulane University  
Julia Rholes, University of Mississippi

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## 1. Governance

Once this Implementation Plan is approved, the ASERL Dean's FDLP Task Force will be dissolved and an ASERL FDLP Steering Committee will be established to provide long-term oversight and governance for this initiative, as well as to lead the effort to identify Centers of Excellence necessary to establish two comprehensive FDL collections in the region. The Steering Committee will include library deans and directors from Regional and Selective Depository Libraries in the Southeast Region. It will meet as needed, but at least annually, to ensure the program is functioning as intended.

Although two of the twelve Regional Depository Libraries in the Southeast Region are not ASERL members, they have been, and will continue to be, consulted so that the major decisions remain consensus decisions. Similarly, Selective Depository Libraries that are not ASERL members will continue to have an opportunity to influence the guidance that is promulgated since it directly affects the management of their depository collections.

Additionally, the ASERL FDLP Steering Committee will work closely with the ASERL Collaborative Federal Depository Program Steering Committee,<sup>31</sup> and if that committee ceases to exist, will establish an advisory committee consisting of documents coordinators from both Regional and Selective Depository Libraries in the southeast to review proposed changes in policy and procedure.

## 2. Support for Implementation

Deans and Directors of the Regional and Selective Depository Libraries in the Southeast Region already make a substantial investment to support their participation in the Federal Depository Library Program. Full participation in this initiative, particularly for the libraries that agree to serve as Centers of Excellence, will require additional resources, particularly for cataloging and inventorying portions of the local documents collection. This will be a strategic investment in improved public access through better management of the individual collections and, perhaps more importantly, through collective and collaborative management of federal documents collections in the Southeast Region.

Every Federal Depository Library in the Southeast Region can support this initiative and contribute to the development of the comprehensive collections for the southeast by implementing these guidelines. Every Regional Depository Library in the southeast and every ASERL member library that is a Selective Depository Library is **strongly encouraged** to identify at least one agency or topic for which it can serve as a Center of Excellence. Other Selective Depository Libraries in the Southeast Region are **encouraged** to consider serving as a Center of Excellence for some agency or topic that is relevant to their constituencies.

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<sup>31</sup> The ASERL Collaborative Federal Depositories Program is managing a 36-month IMLS funded demonstration project to create collaborative "centers of excellence" among federally-designated regional depository libraries. Working within the current legal mandate and policies of the Federal Depository Library Program (FDLP), the project seeks to improve access to federal government publications and create a model for improving depository library services and operations. The steering committee consists primarily of documents coordinators at Regional and Selective Depository Libraries at ASERL member organizations. Additional information about the CDFP model can be found on the ASERL website at <http://www.aserl.org>.

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### 3. Next Steps

The ASERL Dean's FDLP Task Force has already identified the need to review existing State Plans for states in the Southeast Region and adjust them, if necessary, so they do not conflict with this Implementation Plan. As State Plans are developed in states such as Florida that do not currently have State Plans, the Task Force recommends that those plans be written to avoid conflict with the guidelines from this Plan. The Implementation Plan is expected to be a vital document that will evolve with experience. Consequently, State Plans should consider incorporating these guidelines by reference, rather than by inclusion, so the State Plans will not need to be revised as the Implementation Plan changes.

As noted in Section I above, there is agreement within ASERL that the best means of providing broad public access to these important collections is through online access to digital and digitized collections. Establishing and sustaining such access is a high priority for ASERL members. Consequently, the ASERL Dean's FDLP Task Force strongly recommends that a plan be developed and implemented to address how Federal Depository Libraries in the Southeast Region can support or participate in initiatives to create a comprehensive digital collection of federal documents in the public domain. This will complement efforts to manage the tangible collections held by depository libraries in the Southeast Region.

### 4. Comments and Questions

Comments and questions can be sent to Judy Russell ([jcrussell@ufl.edu](mailto:jcrussell@ufl.edu)) or John Burger ([jburger@aserl.org](mailto:jburger@aserl.org)) or to any member of the ASERL Dean's FDLP Task Force.