



ASSOCIATION OF SOUTHEASTERN RESEARCH LIBRARIES

## **Best Practices Documentation: Becoming a Center of Excellence for ASERL's Collaborative Federal Depository Program**

Thank you for your interest in becoming a Center of Excellence (COE) for the ASERL Collaborative Federal Depository Program (CFDP). This document is provided to ensure proposals to your local institution are made with an accurate understanding of the nature and scope of the commitment undertaken by becoming a COE.

### **Background**

The CFDP seeks to provide workable solutions to address the increasing cost of managing, preserving, and providing access to large collections of Federal government publications through the creation of agency-based COEs among libraries participating in the Federal Depository Library Program (FDLP).

The current structure of regional and selective depository libraries was established by the Depository Library Act of 1962. The [U.S. Federal Depository Library Program](#) disseminates information products from all three branches of the Government to over 1,200 libraries nationwide.

Most depository libraries selectively add U.S. government publications to their collections (commonly called "Selectives"). However, Regional Depository libraries accept the responsibility for receiving all GPO distributed Federal publications, coordinating statewide depository activities, facilitating communication among depositories, and acting as backup collections for their state or region. All publications distributed through the FDLP are sent to regional depositories and must be permanently retained unless superseded; selective depositories must retain FDLP material for five years but may then dispose of it with approval from their regional depository<sup>1</sup>. All FDLP libraries must make their holdings available at no cost to the general public. Regional depositories are required to provide interlibrary loan, reference services, and assistance to the selective depositories that they serve [44 USC 1913].

### **Overview**

All program participants must be committed to the long-term goal of creating and maintaining a collaborative COE. Having the support of the library dean/director is critical for success in this program. The dean/director should participate in the discussion of which agency or sub-agencies you plan to select for your COE. They may be aware of campus or system-wide interests that could influence your selection.

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<sup>1</sup> The only exceptions are for superseded publications, and those issued later in another format (bound, microfiche, or electronic media). Regulation 52 from "Legal Requirements & Program Regulations of the Federal Depository Library Program". June 2011. U.S. Government Printing Office. Office of the Superintendent of Documents.

Choosing to become a Center of Excellence means that you are agreeing to:

- Operate within the boundaries of U.S. Government Printing Office (GPO) guidelines and instructions as well as Title 44, Chapter 19, of the United States Code, especially Sections 1911 and 1912.
- Inventory holdings and ensuring accurate cataloging and holdings records for the extant collection. Each partner will inventory and catalog its agency's holdings, adding records and holdings to OCLC's WorldCat. As part of the inventory and cataloging process, it is recommended that items in the COE collection be designated as the "Archival Copy" and the COE will take all reasonable steps to maintain the integrity and existence of said document. Existing GPO or OCLC records will be used when available, but partners should expect to create full-level records as necessary. When creating original cataloging records, partner libraries agree to treat these items in the same manner as other items being added to the library's collection, including the same level of cataloging specificity, <http://www.oclc.org/contractcataloging/support/definitions/definitions.htm>.
- Create master lists of all titles in the relevant SuDoc stem(s) and upload brief catalog records to the ASERL/COE database. The ASERL COE database is meant to be as comprehensive as possible for the selected SuDoc classes. The database, accessible through a secure website, is available to participating libraries to analyze their collections to identify gaps. Staff at partner libraries will compile and compare their records with records reported by other organizations through the GPO, OCLC, and catalogs of other ASERL libraries. See Appendix C for a list of required Marc fields.
- Fill identified gaps in COE collections. Partner libraries will work to fill collection gaps to ensure as-comprehensive-as-possible collections. The process includes: identification of potential sources of federal government publications (including holdings from selective depositories and listings in the ASERL Documents Disposition Database<sup>2</sup>); communication protocols for inquiring into availability; transfer procedures if items are to be contributed by another depository library; and surrogate procedures if the holding institution wishes to retain the original and provide a copy (paper or digital). The COE will catalog new acquisitions and update information in the ASERL/COE database to reflect accurate holdings.
- Develop expertise to facilitate use of the COE collections. Expertise at each COE will be created by the gathering of a complete collection, accessibility to that collection, and the service provided to the collection by the staff of the library. Partner libraries will provide collection-level expertise for in-depth user assistance, including requests from the Government Information Online GPO virtual reference service. COE libraries are experts for the scope of their COE collections, with that expertise being additionally supported by resources at other ASERL libraries when feasible and appropriate. Each COE is expected to provide any necessary

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<sup>2</sup> For more information on the ASERL Documents Disposition Database, please visit: <http://guides.uflib.ufl.edu/ASERL-DispositionDB>.

training activities to promote the use of the COE collection as well as to facilitate cooperative training initiatives to share expertise within the depository community. Partner libraries are encouraged to participate in public awareness and outreach campaigns to promote federal government publications to libraries within the region.

- Facilitate access to FDLP and COE titles through Inter-Library Loan. The partner libraries will address provisions for making their COE holdings as generally available as possible. Digitization efforts are also encouraged.
- Develop a contingency plan for maintaining the regional collection (where applicable) and the COE collection(s) in particular, should the COE elect to terminate or significantly modify their agreement. The partner libraries will address provisions for disposition or transfer of materials in the event of termination, or significant modification of the Memorandum of Understanding (MOU) that alter responsibilities for the collection including the responsibility for archiving and long-term security of the collection as covered in the Federal Depository Library Handbook (<http://www.fdlp.gov/administration/handbook>). Note: A participating library may opt to discontinue their participation in the CFDP, but must provide written notice to the CFDP Steering Committee a minimum of 24 months prior to withdrawing from the program.

### *Selecting your agency/agencies:*

Consider the following questions when choosing your agency. Please feel free to [contact us](#) with any questions or for examples of the type of information which has been helpful to other institutions when planning their COEs.

1. What agency and SuDoc stem(s) are you proposing to work with? Is there a specific date-span within this stem or other limitations you are placing on your COE? If you are proposing a subject or format based COE, what will be the primary SuDoc stem(s) you will start with?
2. What are your institutional holdings in this area? Are you affiliated with another institution or individual that provides you with additional access to this agency's materials?
3. What is your institutional interest in this area? Does your institution have a specialty or center that relates to this topic?
4. How many publications do you anticipate being in this COE (based on Monthly Catalog numbers or known caches of fugitive titles)?
5. Access is of fundamental importance for the CFDP, which requires item-level cataloging for your COE materials. What percentage of your holdings in this collection is already cataloged? What call number system are your documents cataloged under? Describe your library's capacity to catalog additional materials as they come into your library to the level needed by this project (see Appendix C).
6. As previously noted, participants in the COE program agree to contribute their holdings records to the ASERL/COE Database. This agreement is not just for the institution's chosen COE records, but for as many of the identified COE agencies as possible. Will you be able to provide holding records for COE's other than your own?

7. Describe your library's ability to offer reference assistance for this collection.
8. Describe how you will insure the integrity and security of this collection.
9. Is digitizing this collection a viable option for your library? Would you be able to add links to digital equivalents found elsewhere? Would you consider offering digitization-on-demand in lieu of physically loaning this material through inter-library loan?

Once you have selected your COE agency and signed your Memorandum of Understanding (MOU) as a Center of Excellence, the real work begins!

### **Collection building and contributing cataloging data to the ASERL/COE Database**

An important motivation for the Collaborative Federal Depository Program is that no historical federal government publications collection is 100% complete. Whether a result of previous collection/retention policies, disaster, wear-and-tear, or theft; loss happens. Additionally, the lack of cataloging records and OCLC holdings symbols for older material presents a major hindrance to access, sharing, and ensuring completeness of holdings. Access to materials is of fundamental importance for the CFDP.

Within the CFDP model, each COE is required to inventory their holdings for their chosen agency to ensure accurate cataloging and serials holdings records in the relevant SuDocs classes are reflected in their local catalog. Cataloging records are to be added to OCLC's WorldCat as necessary, and their holdings symbol set in OCLC for all pieces they hold in their COE collection. COE libraries are additionally encouraged to conduct an inventory of the rest of their SuDoc collection, particularly in the area of other established COEs.

It is expected that each COE will attempt to identify all titles issued by their chosen agency. This will include, at a minimum, gathering all Monthly Catalog/CGP entries and OCLC records for their COE agency and checking them against their holdings. Because the United States Government Printing Office (US GPO) did not start participating in OCLC for record creation until July 1976, the library might have to rely on the paper index of the Monthly Catalog or alternative sources including the OCLC database. For agencies/publications distributed after July 1976 – the library should export GPO created records from OCLC or purchase records from a vendor, e.g., Marcive, Inc. to create a comprehensive list of what items it should have in its collection<sup>3</sup>.

COE libraries agree to contribute catalog records to the ASERL/COE database. This database is comprised of brief cataloging records that indicate holdings for all COE libraries (and other contributing depository libraries) in the Southeast and serves as a tool for analyzing the completeness of COE collection(s) and to identify gaps. The database also contains "placeholder" records, created by the

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<sup>3</sup> Example – the University of South Carolina purchased all records for U.S. Department of Education publications from Marcive, Inc. The Marcive, Inc. database is an enhanced database derived from GPO cataloging records. Records from the Marcive database (July 1976 through May 2010) plus monthly updates constitutes a comprehensive list of US Department of Education materials.

COE, for all known but un-owned titles within their chosen collection (see “Business rules” at end of Appendix C). These records represent known “gaps” in the COE collection and serve as a needs list for that agency.

As COEs increase holdings of historic publications, a primary goal of the CFDP -- filling gaps and replacing lost materials -- is achieved. More depository libraries have more complete collections. To create a database that is as comprehensive as possible, records from as many institutions as possible are needed. As such, all partner libraries agree to contribute records for holdings of as many identified COE agencies as possible<sup>4</sup>. Partner libraries are not expected to inventory and catalog items outside their COE area, but should contribute the existing catalog data they have about their FDLP collections.

Sources for catalog records include, but are not limited to, the Government Printing Office’s CGP, OCLC database, Paratext database, records from the Marcive Inc. WebDocs database; and records derived from printed/online Monthly Catalog of United States Government Publications (MoCat). Appendix A provides best practices for conducting a gap analysis in the ASERL/COE database.

Participating libraries are expected to regularly update the ASERL/COE database after any additions to their collection. Updates constitute the only way that a complete “universe” of available records is established. As the known universe of records increases more accurate gap analysis can be performed.

### *COE Access and Sustainability:*

Greater access to government documents in the Southeast is the main goal of this program. By taking on a COE your library is accepting the role of “regional expert” for that agency or subject matter. Expertise at the Center of Excellence will be created by gathering a collection that is as complete as possible, creating access to that collection, and providing service to the collection by the staff of the library. “Expertise” requires collection level understanding more than expertise in the subject matter itself.

Expertise is also maintained through the sharing of information between partner institutions. Knowledge of the strengths and weaknesses (gaps) that exist in the COE’s holdings and of other libraries within the state and region that have resources or collections that might supplement the COE will contribute to the collaborative process that identifies, coordinates, and connects resources and people in assisting the user/researcher in their search for information.

### *Security:*

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<sup>4</sup> For example, the University of Florida will provide bibliographic records for Works Progress Administration and United States Department of Education collections, while the University of Kentucky and the University of South Carolina libraries agree to add bibliographic records for the Panama Canal Zone.

Also in the interests of access, it is important to consider how your library will insure the integrity and security of this collection. As the holder of an archival collection, it is critical to balance availability with preservation.

### Cataloging Best Practices:

When reviewing catalog records for inclusion in the ASERL/COE database, only the following MARC fields are required:

- OCLC #, **MARC field 001**; OR a **MARC field 901** with an OCLC placeholder (discussed below)
- Source Library; **MARC field 049**. The Source library will be identified by the library's primary OCLC symbol or “\*\*\*\*” if the item is not owned (see Appendix C).
- SuDoc number, **MARC field 086 \$a**; OR LC number, **MARC field 050 \$a, \$b** ; OR Dewey number, **MARC field 092 \$a**. This requirement may be waived for known items that are not owned and are not cataloged.
- Title, **MARC field 245 \$a and \$b**.
- The **MARC field 909** provides a standardized agency filter using the format \*CFDP(XXX) where XXX is agency abbreviation (e.g., WPA, ED).

**OCLC numbers** will not include any additional characters (i.e. OCoLC, ocm, etc) nor any leading zeros. Any record that does not contain an OCLC number **must** contain a PlaceholderID in a **901** field. The format of the placeholder should take the form “\*CFDP(xxx)yyzzzzzz” where xxx is the Agency, yyy is the source library code and zzzzzz is the bib id. The \*CFDP prefix is required. Formatting example: \*CFDP(WPA)KUK10001. Records requiring the PlaceholderID in the 901 field represent known items that are not owned and not cataloged by the COE, but are titles they hope to acquire. (See Business Rule – Appendix C).

The use of the **MARC field 583** (condition) is encouraged but not required. COEs should use the vocabulary terms developed by the University of Kentucky based on their work with the WPA material. The vocabulary set is provided in Appendix B. While the default value for this field is blank for material in good shape, providing information about damaged items could result in finding a better copy from another location.<sup>5</sup>

The use of a local note in **MARC field 590,\$a** with the text “XXX holds the archival copy for ASERL Collaborative Federal Depository Program” is also encouraged in your local cataloging records for your chosen COE.<sup>6</sup> Designating this copy as “archival” indicates that you agree to take all reasonable steps to maintain the integrity and existence of said document and serves as a retention indicator to those

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<sup>5</sup> OCLC is also engaged in a print archives pilot project involving the use of a retention statement in the MARC 583. For more information, please see: <http://www.slideshare.net/oclc/oclc-print-archives-pilot-project-update-2011-0526>.

<sup>6</sup> The MARC field 590 is not used in the ASERL/COE database and as such, is not listed in Appendix C: Standardized Cataloging Fields and Suggested Formatting. It is a local note for use in your catalog.

engaged in weeding projects in your library. Ideally, these items will be digitized and the physical items will not circulate.

A standardized agency filter must be included in a **MARC Field 909** to facilitate searching on a particular agency in the ASERL/COE database. The content of this field will take the form “\*CFDP(XXX)” where XXX is the agency abbreviation. The following website will be used as reference in assigning agency abbreviations: <http://members.cox.net/govdocs/govspeak.html>. If an abbreviation has not been identified, one will be assigned in cooperation with the COE.

A complete list of field standardizations and suggested formats is included in Appendix C.

## **Appendix A: Gap Analysis Process –**

**(Revised: 12/5/2011)**

The COE library is responsible for running a “gap analysis” of its collection against the ASERL/COE database to determine which publications are needed by the Center of Excellence to make that collection complete.

There are three reports that can be generated by the ASERL/COE database:

### **Owned vs. Available Gap Report**

The Owned versus Available Gap Report checks a library’s holdings against the holdings of other libraries in the database and returns items not held by the searching library. For example, if SUC (University of South Carolina) logs into the database the result would be items other libraries have - not owned by SUC. SUC would then identify options to obtain copies from partner libraries.

### **Owned versus Universe Gap Report**

The Owned versus Universe Gap report checks a library’s holdings against the known universe of records contributed to the ASERL/COE database – including records for known items that are not currently held by any of the participating libraries.<sup>7</sup> The output would constitute a “Needs List” for the COE.

### **Holdings Condition Report**

The Holdings Condition Report checks a library’s holdings against the holdings of other libraries in the database and returns identical items held by participating libraries, and displays the item condition information. The intended purpose of the report is to help the COE locate replacements for items in lesser condition. For example, if a Regional has an item in poor condition and a Selective has an identical copy but in good condition, then the Regional might want to obtain the better copy as its

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<sup>7</sup> A COE library is expected to contribute a cataloging record for an item they do not currently own but that is known to exist for their chosen agency. The item is intended to serve as a Placeholder record until which time the physical item can be located. (See database field 901 in Appendix C).

“archival copy” and use the lesser item to create a digital surrogate. If the Selective wishes to retain their copy they might make a digital surrogate for the Regional. The Regional’s copy would then remain the “archival copy” and the digital surrogate would serve as the lending copy.

A COE library commits to creating a complete as possible collection including the filling of gaps in the COE collection. Gaps are identified during the compilation of the comprehensive list or by running the gap analysis in the ASERL/COE database. There are several options for filling gaps in collection including:

- a. obtaining physical copies or digital surrogates from other participating libraries
- b. obtaining physical items offered through the ASERL disposition database
- c. obtaining items offered from GPO’s Needs & Offers lists; or
- d. obtaining items offered by individual libraries on GOVDOC-L and other discussion lists

## Appendix B: Terminology for 583 field of WPA materials –

(Revised: 4/7/11—smc/jj/nl)

1. All materials are assumed to be printed on acidic paper.
2. Include only conditions which need attention. For instance, a hard cover book with no damage will not need any preservation action except for deacidification, so 583 field will not be present.
3. All 583 fields will have a 1 in the first indicator and a blank in the second indicator.
4. All 583 fields will end with: |2 pda [Preservation and Digitization Actions: Terminology for MARC 21 Field 583] |5 KyU [insert your institution’s MARC code]
5. All 583 fields will include: |c [year of evaluation]
6. All 583 fields will include: |a [action] (will be “housed” and/or “condition reviewed”—see instructions below). It is possible to describe “repaired,” “acquired surrogate,” “digitized,” etc., but these instructions do not cover these actions.
7. If there is more than one copy, or you are describing damage to a specific volume or portion of the volume, use a subfield |3 at the beginning of the 583 field to describe which copy, volume or portion of a volume you are describing. Where we have identified one copy as our archival copy and the other/others as our access copy/copies, we will use these terms in addition to copy numbers where applicable.
8. Terms to use in subfields |i and |l must be taken from tables below; free text must go into a subfield |x.

### Additional instructions for 6. and 8. above:

Current housing condition will be indicated by “|a housed,” and then one of the following terms in a subfield |i which is repeatable:

Standard  i terms when  a = housed	
box	custom-fitted board stock enclosure, preservation quality materials & construction. (rare books)

encapsulation	custom-fitted polyester enclosure, preservation quality materials & construction. (maps)
envelope	non-custom paper or Tyvek enclosure, preservation quality materials & construction. (pamphlets)
folder/container	non-custom enclosure, card/board stock, preservation quality materials & construction. (manuscript)
jacket	custom-fitted paper enclosure, preservation quality materials & construction. (fiche)

If you must use free text to describe the housing, that information will go into a subfield |x. For example:

- |x Staples
- |x Spiral binding
- |x Tied up in string

Current physical condition will be indicated by “|a condition reviewed,” and then one of the following terms in a subfield |l (lower case l) which is repeatable:

<b>Standard  l terms when  a = condition reviewed</b>		
acidic paper	insect damaged	rehoused poorly
alkaline paper	loose	repaired previously
annotated	marginalia	Scratched
blocked	missing	Stained
brittle	mold damaged	sticky shed
damaged	mutilated	Torn
defaced	not intact	Undamaged
delaminated	obscured	vinegar syndrome
do not treat	obsolescent format	warped/cockled
faded	oxidized	water damaged
flaked/cracked	rebacked	
foxed	redox	

Note that you can use the terms above to describe the condition of a specific portion of a volume or a specific copy. For example:

583 1\_ |3 copy 1 access copy cover |a condition reviewed |c2009 |l torn |2 pda |5 KyU  
583 1\_ |3 copy 1 access copy pp.10-12 |a condition reviewed |c2009 |l missing |2 pda |5 KyU  
583 1\_ |3 copy 1 access copy page 4 |a condition reviewed |c2009 |l loose |2 pda |5 KyU  
583 1\_ |3 copy 2 archival copy |a condition reviewed |c2009 |l insect damaged |2 pda |5 KyU

Prefer terms from MARC table above over using free text. If you must use free text to describe the condition, that information will go into a subfield |x. For example:

|x flaking edges and text pages  
|x detached and/or partially detached text pages  
|x broken text block  
|x broken inner joints  
|x detached boards  
|x case spine loose

#### Examples:

Both 583 fields are describing our only copy:

583 1\_ |a housed |c2010 |i envelope |2 pda |5 KyU  
583 1\_ |a condition reviewed |c2010 |l damaged |l brittle |2 pda |5 KyU

Only 583 field is describing a second copy (first copy has no housing or condition issues and has been designated as our archival copy):

583 1\_ |3 copy 2 access copy |a condition reviewed |c2009 |l damaged |l foxed |2 pda |5 KyU

Only 583 field is describing only the cover of our only copy:

583 1\_ |3 cover |a condition reviewed |c2010 |l torn |2 pda |5 KyU

Multiple 583 fields are describing both of our copies:

583 1\_ |3 copy 1 archival copy |a housed |c2009 |i box |2 pda |5 KyU  
583 1\_ |3 copy 1 archival copy |a condition reviewed |c2009 |l damaged |x broken inner joints |2 pda |5 KyU  
583 1\_ |3 copy 2 access copy |a housed |c2009 |i envelope |2 pda |5 KyU  
583 1\_ |3 copy 2 access copy |a condition reviewed |c2009 |l damaged |l foxed |2 pda |5 KyU  
583 1\_ |3 copy 2 access copy cover |a condition reviewed |c2009 |l torn |2 pda |5 KyU

## Appendix C: Standardized Cataloging Fields and Suggested Formatting.

(Revised: 9/13/11)

Field Name	MARC Source	Subfield	Notations
OCLC#	001		The OCLC number will take the form of #####. Do not include any additional characters (i.e. OCoLC, ocm, etc) nor any leading zeros.
Begin Date	008	c11-14	
End Date	008	c07-10	
Bib Format	008	c23	
049 (Source Library)	049		The Source library will be identified by the library's primary OCLC symbol. Under certain circumstances a secondary symbol can be requested. <b>Formatting Examples: KUK, SUC</b>
LC Call #	050	\$a, \$b	
Alternative Dewey	082	\$a	
SUDOC	086	\$a	
Alternative LC Call #	090	\$a, \$b	
Local Dewey	092	\$a	
Primary Personal Author	100	\$a, \$b, \$d	
Primary Corporate Author	110	\$a, \$b, \$d	
Title	245	\$a, \$b	
Format	245	\$h	
Edition	250	\$a	
Imprint	260	\$a,\$b	
Illustrative	300	\$a, \$b, \$c, \$e	
Series	490	\$a	
Volume	490	\$v	
Condition (583)	583	\$a, \$i, \$l, \$x, \$3	
Secondary Personal Author	700	\$a,\$b, \$d	
Secondary Corporate Author	710	\$a, \$b, \$d	
Digital Content	856	\$u	

Placeholder ID	901		Place holder for records where the OCLC number is not known or when there is no holding library identified in the record. The Placeholder ID will take the form of “*CFDP(xxx)yyyzzzzzz” where xxx is the Agency, yyy is the source library code and zzzzzz is the bib id. The *CFDP prefix is required. <b>Formatting example: *CFDP(WPA)KUK10001</b>
Link to source Library	902		Link back to the source library's ILS. The *CFDP is required. <b>Formatting examples: *CFDPhttp://libcat.csd.sc.edu or *CFDPhttp:\infokat.uky.edu/vwebv/holdingsinfo?&amp;bibId=2955342</b>
Standardized Agency Filter	909		Standardized agency filter will take the form of *CFDP(XXX) where XXX is agency abbreviation (WPA, ED). The *CFDP is required. The following website will be used as reference in assigning agency abbreviations: <a href="http://members.cox.net/govdocs/govspeak.html">http://members.cox.net/govdocs/govspeak.html</a> . If an abbreviation has not been identified, one will be assigned in cooperation with the COE.
<b>Business Rules:</b>			
An existing record in the ASERL/COE database will be updated if the OCLC number and Library source Code match. When no OCLC number is present the placeholderID alone will allow the record to be updated. Otherwise, in either case, a new record will be created.			
Any record that does not contain an OCLC number must contain a PlaceholderID in the 901 field			
Any record that does not indicate an owning library (no source library in the 049) will be designated by four asterisks ( "****") in the 049 field. A COE library can contribute a record for a known item that they do not own but the record must contain a PlaceholderID in the 901 field. The record will be designated by a "****" in the 049 field.			
Records must contain a single entry for the 049 field. Remove holdings codes for branch or stack locations prior to uploading the records.			