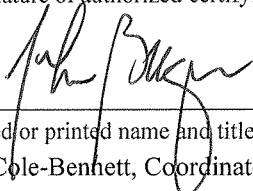


## Performance Report Cover

1. Federal agency and organization element to which report is submitted Institute of Museum and Library Services		2. Federal grant or other identifying number assigned by federal agency LG-07-09-0095-09		Page 1	of 97 Pages
				3a. DUNS number 829179667	
				3b. EIN 58-2598596	
4. Recipient organization (name and complete address, including zip code) Association of Southeastern Research Libraries (ASERL) 1438 West Peachtree St NW STE 200 Atlanta, GA 30309-2955				5. Recipient identifying or account number	
6a. Project/Grant period start date (mo/day/yr) 10-01-09	6b. Project/Grant period end date (mo/day/yr) 09/30/12	7. Reporting period end date (mo/day/yr) 9/30/10		8a. Final Report? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
8b. Project URLs if any http://www.aserl.org				9. Report frequency <input checked="" type="checkbox"/> annual <input type="checkbox"/> semi-annual <input type="checkbox"/> quarterly <input type="checkbox"/> other If other, describe	
<b>10. Please transmit the performance report as instructed by the Institute of Museum and Library Services.</b>					
11. Other attachments <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Transmit accompanying documents with this cover as instructed by the Institute of Museum and Library Services					
<b>12. Certification: By submitting this report I certify to the best of my knowledge and belief that this information is correct and complete for performance of activities for the purposes set forth in the award documents.</b>					
12a. Typed or printed name and title of authorized certifying official John Burger, Executive Director			12c. Telephone (area code, number, extension) 404.592.4830		
			12d. Email address jburger@aserl.org		
12b. Signature of authorized certifying official 			12e. Date report submitted (mo/day/yr) 29 Oct 2010		
13a. Typed or printed name and title of Principal Investigator/Project Director Cheryle Cole-Bennett, Coordinator, Collaborative Federal Depositories Program			13b. Telephone (area code, number, extension) 404.592.4988		
			13c. Email address ccole-bennett@aserl.org		
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## **ASERL Collaborative Federal Depositories Program (CFDP) Interim Performance Report Narrative October 29, 2010**

### **Overview**

The ASERL Collaborative Federal Depositories Program (CFDP) seeks to document and test the feasibility of a model to create subject-based Centers of Excellence (COE) among depository libraries. Such a model could relieve staff, cost, and collection management pressures among both regional and selective depository libraries and improve preservation, intellectual control, and access for legacy collections nation-wide.

The libraries of the University of South Carolina (COE for Department of Education), the University of Kentucky (COE for Works Projects Administration), and the University of Florida (COE for Panama Canal Zone) are participating in the ASERL CFDP program. As a participant in this program, Centers of Excellence agree to:

- inventory holdings and ensure accurate cataloging and holdings records for the extant collection
- actively replace damaged or lost pieces,
- seek to fill holes in their collections, as necessary, via Needs and Offers lists,
- provide active preservation for the collection,
- catalog the pieces that they own on OCLC and identify them as the archival copy,
- participate in GPO's program to set holdings on OCLC for Regionals free of charge, if eligible,
- enhance the visibility of, and accessibility to, their collection through digitization of holdings or linking to available public domain digital copies, as feasible,
- actively participate in ILL/Document Delivery agreements, and provide expert reference service for and promote the use of their collection

### **Progress toward Scheduled Activities**

1. A project page is maintained on the ASERL website at <http://www.aserl.org>.
2. As previously reported, this project is developing a Masterlist database, designed to be as-comprehensive-as-possible catalog of all items published in the ED, FW and Y 3.W 89/2 Su Doc classes. A comprehensive listing of these data is not available via any other source. The Masterlist will be a compilation a variety of data sources, including GPO-created MARC records, and records created by individual libraries.
  - a. As of this reporting, there are approximately 25,100 records in the CFDP Masterlist database from seven contributing institutions (list of participants attached). Since the previous report, we have received contributions of a test data for the Panama Canal Zone from the University of Mississippi and records for the Works Progress Administration from the State Library of Virginia.
  - b. A random set of the database records is currently under review by a sub-group of the Steering Committee to offer recommendations for further database design and refinements to the reports features.
3. COE collections –
  - a. As previously reported, the majority of the COE collection inventories were completed in January 2010. At that time, the University of Kentucky reported that their WPA collection was comprised of approximately 1822 items. The University of South Carolina inventory of their ED collection included paper, pamphlets, CD-ROM/DVD, microfiche and kits. The microfiche collection was completed in January with the exception of the ERIC microfiche collection which was completed in May. At the end of February, USC

- recorded 5383 titles in the collection. The University of Florida reported 174 items in their collection of Panama Canal Commission materials.
- b. Since the completion of the inventories, the University of South Carolina has acquired approximately 25,000 Department of Education records through Marcive. The purchase included all of the ERIC documents distributed through GPO. As a result of this purchase, USC has enhanced access to electronic records and items that have been digitized since their original load. In August, USC also reported that they are to receive approximately 65,000 ERIC documents from Virginia Tech to fill gaps in their collection.
  - c. The University of Kentucky received approximately 300 unique WPA items from the University of Missouri. They continue to review their holdings to identify WPA materials held in their LC collections. As of May, there were approximately 1800 relevant items identified which are to be re-classified if a valid SuDoc number is available.
  - d. As reported earlier, the University of Florida has committed to digitizing all of the Panama Canal Commission material at an archival level. As of September, their cataloging and digitizing activities were approximately 70% completed.
4. CFDP Steering Committee members continue to provide overview sessions, reports, and discussions at national, regional, and state conferences:
- Depository Library Conference Regionals meeting, October 2009 (Bill Sudduth, Valerie Glenn)
  - The ARL spring meeting of the FDLP working group and the public policy committee, April 2010 (Judy Russell)
  - South Carolina Depository Libraries annual meeting, May 2010 (Bill Sudduth)
  - UFL - town hall meeting to the staff and faculty of the UF libraries, May 2010 (Judy Russell, Chelsea Dinsmore)
  - Rare and Endangered Government Publications Committee, ALA June, 2010. (Sandra McAninch)
  - The Federal Documents Task Force of GODORT, June 2010 (Judy Russell, Bill Sudduth)
  - The Committee on Legislation Government Information Subcommittee (GIS), June 2010 (Judy Russell)
  - The ALA Membership Meeting with the theme Forging Strong Alliances, June 2010 (Judy Russell)
  - University of Kentucky, Collection & Technical Services Division, Manager's Meeting, July 2010 (Sandra McAninch)
  - The AALL Government Document Special Interest Group (SIG), July 2010. (Judy Russell)
  - [Six-State Virtual Government Information Conference](#), August 2010 (Valerie Glenn)
  - ASERL Summit and Working Session, August 2010 (Chelsea Dinsmore, Valerie Glenn, Sandra McAninch, Judy Russell and Bill Sudduth)
  - Kentucky Library Association, Gov. Docs. Round Table meeting, September 2010 (Sandra McAninch)
5. The steering committee, chaired by Valerie Glenn (University of Alabama), continues to meet monthly via conference call. In May, David Durant (East Carolina University) filled the vacancy left from the resignation of David Vidor (Emory University) in March 2010. The project Oversight Team, comprised of the COE library representatives, meets annually – the first meeting of the Oversight Team took place on August 3, 2010. Meeting notes from both teams are posted to the project page on the ASERL website <http://www.aserl.org>.
6. The Training Subcommittee (a sub-group of the Steering Committee), chaired by Mary Clark (State Library of Virginia) and members Rich Gauss (University of Central Florida) and Beth Rowe (University of North Carolina – Chapel Hill) have focused initial training plans on use

of the Documents Data Miner (DDM, a software program created to track depository libraries and their selections) and the FDLP selection process. In July 2010, Beth and Rich traveled to Wichita State University to meet with Nan Myers (designer of DDM) for training on the program.

7. LibGuides are also being created at each of the COEs to support the training efforts.

**Future Activities:**

1. The Steering Committee continues to explore options for procuring the cataloging data for the test-bed project portions of their collections (the FW, Y 3.W 89/2, and ED SuDoc classification stems.) Additional records are needed to fully test the Masterlist database reports functionality and contributing libraries are being recruited.
2. Beginning October 1, the COE libraries are prepared to provide collection-level expertise for in-depth user assistance, including requests from the Government Information Online GPO virtual reference service. Each COE will provide any necessary training activities to promote the use of their collection. In early October, an announcement of the CFDP Program was distributed to the GIO participating libraries, identifying the three existing COE collections with contact information for each Center.
3. The Training Subcommittee continues to investigate training and marketing opportunities that share expertise within the depository community and will participate in public awareness and outreach campaigns to promote federal government publications to libraries within the region.
4. During the next reporting period, the Steering Committee will finalize the Memorandum of Understanding (MOU) for CFDP participating libraries. A "Best Practices" addendum will be created, along with other supporting documentation to provide a greater measure of standardization and support in record formatting, cataloging and exporting processes for ILS systems used by participating libraries.

**Significant Findings / Other Comments**

ASERL Summit - ASERL hosted a Summit Meeting in Atlanta on August 4th and a Working Session on August 5th to review the ASERL draft proposal for standardizing and streamlining the FDLP collections process – "Proposed Southeast Region Guidelines for Management and Disposition of Federal Depository Library Collections". Summit attendance total of 35 in person, and 21 via the web. The Summit Meeting was broadcast live over the web; an archive of the broadcast is available through August 10, 2011. A copy of the draft proposal, along with the broadcast archive and the PowerPoint presentations are available on the ASERL website - <http://www.aserl.org>

CFDP Project Staff continue to participate on conference calls with the Print Archives Program (a print management network in North America) within the Center for Research Libraries. More information on the CRL project can be found at <http://www.crl.edu/archiving-preservation/print-archives/>.

For the period of Oct. 2009 – September 2010, the collection use count (combined ILL, Circulation & Reference requests) reported by the University of Kentucky was 24 transactions – compared to 2 for the prior fiscal year. The University of Florida collection has been removed from the shelf for scanning and, as such, there are no use counts to report at this time.

CFDP Masterlist  
List of Contributing Libraries

Institution	Holding Code	COE	Institution Contact	Contact Email	Local ILS	Records loaded by Agency		
						ED	PCZ	WPA
University of Kentucky	KUK	Yes	Sandra McAninch	mcaninch@uky.edu	Voyager			X
University of Kentucky - Medical	KUM	No	Sandra McAninch	mcaninch@uky.edu	Voyager			X
University of South Carolina	SUC	Yes	Bill Sudduth, III	SUDDUTHW@mailbox.sc.edu	III - Millennium	X	X	X
University of Florida	FUGG	Yes	Chelsea Dinsmore	chedins@uflib.ufl.edu	Aleph		X	
University Of Mississippi	MUMW	No	Laura Harper	legharper@gmail.com	III - Millennium		*P	
Library Of Virginia	VIC	No	Mary Clark	Mary.Clark@lva.virginia.gov	Ex Libris			X
US Government Printing Office	GPOO	No			Aleph	*P		

\*P = Partial Load

Revised date: August 26, 2010

Required Fields/Formatting for  
CFDP Masterlist

Field Name	MARC Source	Subfield	Notations
OCLC#	001		The OCLC number will take the form of #####. No additional characters are included (i.e. OCoLC, ocm, etc)
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 = University of Kentucky; SUC = University of South Carolina.</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 only	
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)yyzzzzzz” 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;bibld=2955342</b>

Required Fields/Formatting for  
CFDP Masterlist

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> .
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**Business Rules:**

An existing record in the CFDP 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

Any record that does not indicate an owning library (no source library in the 049) will be designated by a "\*\*\*\*\*" 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.