

# IMPLEMENTATION PLAN

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

Revised July 2012

APPROVED AT THE  
ASERL SPRING MEMBERSHIP MEETING  
APRIL 12, 2012



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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 11 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 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 plan, the Southeast Region is defined as Alabama, Florida, Georgia, Kentucky, Louisiana, Maryland, Mississippi, North Carolina, South Carolina, Tennessee and Virginia, as well as Delaware, the District of Columbia, Puerto Rico and the U.S. Virgin Islands. Based on the Federal Depository Library Directory, in April 2012 over 26% of all Federal Depository Libraries are in this region. This includes 13 of the 47 Regional Depository Libraries (27.7%) and 304 of the 1,201 Selective Depository Libraries (26.3%). 187 are academic libraries that are not academic law libraries, 30 are public libraries, 59 are academic, state or federal law libraries, and 41 are state or federal government libraries that are not 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, and the University of Maryland serves as the Regional Federal Depository Library for Delaware and the District of Columbia, so the selective depository libraries in those jurisdictions are 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/g9e8y7>.

<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 Durham, 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 challenging because most pre-1976 documents are not cataloged by depository libraries, 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.

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. However, 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. The Atomic Energy Commission previously had its own depository program. Some Federal Depository Libraries participated in these agency-specific programs and therefore have collected publications from those agencies. Such publications are not technically 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. Some FDLP libraries have these publications from those regional offices even though such publications are not technically within the scope of a comprehensive FDLP Collection.

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 even though such publications are not technically within the scope of a comprehensive FDLP Collection.

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 to match cataloging records to holdings and therefore this is 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 an expense beyond the resources of any of the Regional Depository Libraries in the southeast. Consequently, these guidelines establish an alternative approach to establishing comprehensive federal documents collections across Federal Depository Libraries 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 13 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

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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

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Library Program and, to the extent possible, its predecessor programs. Libraries may choose to include additional materials beyond the scope of the FDLP.

**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 by Centers of Excellence in this effort to build comprehensive retrospective collections in their areas of responsibility:

## **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, stable links to or locally hosted digital reproductions that are available in the public domain may be used to ensure access.<sup>7</sup>

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

While the Superintendent of Documents permits Regional Depository Libraries to discard superseded publications, the Regional Libraries within 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>8</sup>

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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).

<sup>7</sup> This provision relates to the acquisition of materials by a Center of Excellence to build a comprehensive retrospective collection in its area(s) of responsibility. It does not apply to retention and disposition of materials distributed to the library by GPO as part of the Federal Depository Library Program, which are summarized in Section V below.

<sup>8</sup> The Legal Information Center at the University of Florida is a Selective Depository Library that has a complete retrospective collection of the CFR and is willing to maintain it 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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## 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 in print 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 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>9</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>10</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>11</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.

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<sup>9</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>10</sup> IMLS National Leadership Grant LG-07-09-0095-09 is funded from October 1, 2009, through September 30, 2012.

<sup>11</sup> Centers of Excellence are encouraged to optimize the use of digitized government documents in HathiTrust 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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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:

1. Works Progress Administration<sup>12</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. 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

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<sup>12</sup> The Works Progress Administration was renamed the Work Projects Administration during 1939.

<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> For example, Florida International University has agreed to serve as a Center of Excellence for federal documents relating to the Everglades, regardless of the publishing agency. Similarly, Georgia State University has agreed to serve as a Center of Excellence for documents relating to the City of Atlanta.

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

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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 and should not be loaned.

Inter-Library loan (ILL) fees should be waived for requests from any libraries in the Southeast Region (including Delaware, the District of Columbia, 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

In general Selective Depository Libraries must retain all tangible receipts from the Federal Depository Library Program for **at least five years** before they may be discarded.<sup>17</sup> The five years is measured from the date the library receives the item, regardless of the date covered or date published. However, the Superintendent of Documents has issued guidance allowing Selective Depository Libraries to replace tangible versions with online equivalents of depository materials provided the library has held the publication for **at least one year**, the Regional

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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> Selective Depository Libraries in executive branch departments, service academies, independent agencies of the federal government, and federal court libraries are exempt from these retention requirements.

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Depository Library has approved the disposal of the tangibles, and the online version is official, complete, and free of charge to the user.<sup>18</sup>

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>19</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.

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 and shared through the ASERL Documents Disposition Database 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. The database is described in Sections VI.2 and VII.2 below.

### 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>20</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 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.

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<sup>18</sup> This guidance is available at <http://www.fdlp.gov/component/content/article/149-collection-maintenance/141-substitution-guidelines>.

<sup>19</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.

<sup>20</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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## 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

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

Example 1:<sup>21</sup>   A 13.36/2-6:R 10-RG-125 Tongass National Forest: Juneau area trails guide. 2000.

Example 2:<sup>22</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.

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<sup>21</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>22</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.

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## 2. ASERL Documents Disposition Database

Disposition lists will be posted to a shared online application, the ASERL Documents Disposition Database,<sup>23</sup> for 45 days. For the first five days, only the Primary Regional Depository Library<sup>24</sup> will be able to request items. During the next five days, both the Primary Regional and the Selective Depository Libraries from the same state as the discarding library or served by the same multi-state Regional Depository Library will be able to request items that continue to be available. This assures compliance with the requirements of the Superintendent of Documents that the Primary Regional and its affiliated Selective Depository Libraries be given the first opportunity to acquire discarded items.

This will be a cumulative process, so additional depository libraries become eligible to select available items with each interval, but the libraries that have already been given access continue to have the opportunity to make selections from items for which they are eligible under one or more of the priorities until an item is selected or the 45 days elapse.

After the initial 10 days, Centers of Excellence, regardless of their location in the region, will have 15 days to select items that remain available and are within their areas of COE responsibility. This assures that priority is given to building the comprehensive retrospective collections for the Southeast Region. The Primary Regional Library and its affiliated Selective Depository Libraries will also continue to have access to items for which they are eligible under Priority A or Priority B that remain available during this time.

Following the COE selection period, all remaining Regional Depository Libraries in the Southeast Region will be included in the process and have five days to request items that continue to be available. For the final 15 days, all depository libraries in the Southeast Region will have access to items that remain available for selection.

The table below summarizes the stages of the disposition process; additional details follow.

Elapsed Days	Libraries with Access	Comments
Days 1 - 45	Primary Regional Library(ies)	This is the Regional with responsibility for the discarding library. In the case of states with two Regionals (Louisiana and Alabama), both Regionals would be considered Primary.
Days 6 - 45	Affiliated Depository Libraries – Selective Libraries served by the Primary Regional Library(ies)	These are Selectives from the same state as the discarding library or served by the same multi-state Regional. It also includes all Selectives in a state with two Regionals.
Days 11 - 45	All Center of Excellence (COE) Libraries	This applies only to discards within their areas of COE responsibility.

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<sup>23</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 is now 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>24</sup> This is the Regional with responsibility for the discarding library. In the case of states with two Regional Libraries (Louisiana and Alabama), both Regional Libraries would be considered Primary.

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Days 26 - 45	Other Regional Libraries in the Southeast	Regionals will already have access to discards from their own states/territories and their individual areas of COE responsibilities. This will expand their access to all other available discards.
Days 31 - 45	All Depository Libraries in the Southeast	In this final stage, all depository libraries in the southeast have access to the unclaimed discards.

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.)

## **A. Disposition Priorities: Primary Regional Depository Library**

The Superintendent of Documents has determined that 44 U.S.C. 1912 requires that the Primary Regional Depository Library should have the first opportunity to select items from discard lists posted by the Selective Libraries for which it is responsible. In the case of states with two Regional Libraries (Louisiana and Alabama), both Regional Libraries are considered Primary and both have simultaneous access to items on the discard lists from libraries in their own states. The Primary Regional Library(ies) will have exclusive access for the first five days and shared access to discards from their Affiliated Libraries for the remaining 40 days.

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

The Superintendent of Documents has determined that 44 U.S.C. 1912 requires that the Selective Depository Libraries from the same state as the discarding library, or served by the same multi-state Regional Depository Library, should have the second opportunity to select from discard lists. These are considered Affiliated Depository Libraries. In the case of states with two Regional Libraries (Louisiana and Alabama), all Selective Depository Libraries in the state are Affiliated Libraries. These Affiliated Libraries will have access to discards from other depository libraries served by the same Primary Regional Depository Library(ies) continuously beginning six days after the disposition list is posted.

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

In order to build comprehensive collections at the Centers of Excellence, the Centers will have the third 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. 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>25</sup> The Centers will have priority access for 14 days beginning 11 days after the qualifying disposition list is posted.

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<sup>25</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 from Depository Libraries outside Georgia until those items are made available for selection by Regional Depository Libraries under Priority D. 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 in Florida under Priority B or Priority E.

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## **D. Disposition Priorities: Other Regional Depository Libraries**

In order to support strong regional collections, all of the remaining Regional Depository Libraries in the Southeast Region have the next 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. These Regional Libraries will have priority access for five days beginning 26 days after the qualifying disposition list is posted. Selective Depository Libraries that are Centers of Excellence may continue to select items within their areas of responsibility during this five day period.

## **E. Disposition Priorities: All Depository Libraries in the Southeast**

The last phase provides access to all remaining Depository Libraries in the Southeast Region that have not been granted prior access to a list. This is a shared priority, with no preference being given to a Depository Library in the same state as the one that is discarding the items. The Depository Libraries will have access to all remaining items for 15 days, beginning 31 days after the qualifying disposition list is posted. Centers of Excellence and Regional Depository Libraries may continue to select items during this final 15 day period.

## **F. 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.<sup>26</sup> 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.

## **G. Needs Lists**

The ASERL Documents Disposition Database has 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. 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 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 software permits a Center of Excellence to flag items on its Needs List as in scope for its COE collection. These items will be matched with offers according to Priority C above, unless the library qualifies first for selection under Priority A or Priority B.<sup>27</sup>

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<sup>26</sup> This applies to individual items that are offered. When an entry is for multiple items, the entry will remain visible for 45 days or until the offering library determines that all of the available items have been claimed and removes the offer.

<sup>27</sup> A library that has not signed a Center of Excellence Memorandum of Understanding with ASERL will not have the option to flag items in its Needs Lists as in scope for its COE collection, so items on its Needs List will only be matched under one of the other priorities.

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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.

### 3. 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.2.G 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 five 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>28</sup> for that agency (or any other library) needs anything from their sets.

#### B. Superseded Documents Exception

Selective Depository Libraries in the Southeast Region may discard depository documents after they have been retained for five years without offering them on disposition lists when they conform to guidance on superseded items issued by the Superintendent of Documents. However, libraries discarding superseded items should check to see if a Center of Excellence<sup>29</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>30</sup> maintained by the Superintendent of Documents. This automatically applies to items with publication dates prior to 1907.<sup>31</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>32</sup> 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 for an additional 30 days, unless the items are requested by another library prior to that time.<sup>33</sup>

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<sup>28</sup> The master list of Centers of Excellence is available at <http://bit.ly/gmtUGM>.

<sup>29</sup> Ibid.

<sup>30</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>31</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>32</sup> Over time, 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.

<sup>33</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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## 4. 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.

## 5. 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.

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

All 13 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 described in Section VI.2.G 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.

### 1. Content of Needs Lists

In general, Needs Lists will provide 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 or Keyword;
- iii. Date;

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- 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.

As noted in Section VI.2.G, Centers of Excellence will also be asked to identify items in their Needs Lists that are for their areas of COE responsibility, rather than merely for the general collection interests of their libraries, so these items can be given the appropriate priority when matching needs with offers.

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

The Needs List capability in 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 elapse.

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>34</sup>

### A. Needs List Priorities: Primary Regional Depository Library

As noted in Section VI.2.A above, the Superintendent of Documents has determined that 44 U.S.C. 1912 requires that the Primary Regional Depository Library should have the first opportunity to select items from discard lists posted by the Selective Libraries for which it is responsible. In the case of states with two Regional Libraries (Louisiana and Alabama), both Regional Libraries are considered Primary and both have simultaneous access to items on the discard lists from libraries in their own states. 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 the Primary Regional Depository Library(ies). As with the basic Disposition List Process described in Section VI.2.A above, the Primary Regional Depository Library(ies) have five days to respond to notices about items that may fulfill their needs before the items become available to Affiliated Depository Libraries.

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<sup>34</sup> For example, if Library X is discarding House Commerce Committee Hearings from 1960 to 1980, and the University of Florida (UF) as a COE for Hearings has identified 3 specific hearings from that committee during those years in its Needs List, UF would be notified that there was a discard list that might cover items it needs. UF would then contact 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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## **B. Disposition Priorities: Affiliated Depository Libraries**

As noted in Section VI.2.A above, the Superintendent of Documents has determined that 44 U.S.C. 1912 requires that the Selective Depository Libraries from the same state as the discarding library, or served by the same multi-state Regional Depository Library, should have the second opportunity to select from discard lists. These are considered Affiliated Depository Libraries. In the case of states with two Regional Libraries (Louisiana and Alabama), all Selective Depository Libraries in the state are Affiliated Libraries. Six days after 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 the Affiliated Depository Libraries. These Affiliated Libraries will have access to discards from other depository libraries served by the same Primary Regional Depository Library(ies) continuously beginning 6 days after the qualifying disposition list is posted.

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

In order to build comprehensive collections at the Centers of Excellence, the Centers will have the third 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. 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>35</sup> Eleven days after 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. The Centers will have priority access for 14 days beginning 11 days after the qualifying disposition list is posted.

## **D. Disposition Priorities: Remaining Regional Depository Libraries**

In order to support strong regional collections, all of the remaining Regional Depository Libraries in the Southeast Region have the next 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. Twenty-six days after 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 Regional Depository Libraries. The Regional Libraries will have priority access for five days beginning 26 days after the qualifying disposition list is posted. Selective Depository Libraries that are Centers of Excellence may continue to select items within their areas of responsibility during this five day period.

## **E. Disposition Priorities: All Depository Libraries**

The last phase provides access to all remaining Depository Libraries in the Southeast Region that have not been granted prior access to a list. This is a shared priority, with no preference being given to a Depository Library in the same state as the one that is

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<sup>35</sup> For example, during the period when offers are open to Centers of Excellence, the software would notify the University of Georgia (UGA) of the availability of any map that is on the UGA Needs List. The software would not match any non-map offers from Depository Libraries outside Georgia until those items are made available for selection by Regional Depository Libraries under Priority D. Similarly, Florida International University (FIU) would be notified of any map or document relating to the Everglades that is on the FIU Needs List during the period when those offers are open to Centers of Excellence, but the software would not match any other materials until those items are made available for selection by Selective Depository Libraries in Florida under Priority B or all Selective Depositories under Priority E.

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discarding the items. Thirty-one days after 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 Selective Depository Libraries which had not been given access previously. The Selective Libraries will have access to all remaining items for 15 days beginning 31 days after the qualifying disposition list is posted. Centers of Excellence and Regional Depository Libraries may continue to select items during this final 15 day period.

## **F. Disposition Priorities: Matching Items on New Needs Lists**

Similarly, as new Needs Lists are posted by any depository library, the ASERL Document Disposition Database software will seek to match items on the new Needs List with items already available for selection by the library posting the list based on the priorities identified in Sections VII.2.A through VII.2.E above.<sup>36</sup>

As noted in Section VI.2.F 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 initially developed by the ASERL Dean's FDLP Task Force, with the assistance of ASERL Executive Director John Burger. The Task Force operated from November 2009 through April 2011. Task Force members were:

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

### **1. Governance**

After the Implementation Plan was initially approved by ASERL members, the ASERL Dean's FDLP Task Force was replaced with an ASERL FDLP Steering Committee 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 FDLP collections in the region. The Steering Committee includes library deans and directors from Regional and Selective Depository Libraries in the Southeast Region. It meets as needed, but at least annually, to

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<sup>36</sup> For example, if the University of Georgia (UGA) posts a new Needs List that includes maps and other non-map documents, the software will immediately match those items with offers from any of UGA's Affiliated Selectives under Priority A. The software will also seek to match the maps with items available to UGA as a Center of Excellence under Priority C and the non-map documents with items available to UGA as a Regional Depository Library under Priority D. Similarly, a new Needs List posted by Florida International University (FIU) seeking maps or documents relating to the Everglades would be matched with items available for selection by FIU as a Center of Excellence under Priority C or available to Selective Depository Libraries in Florida under Priority B or all Selective Depositories under Priority E.

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ensure the program is functioning as intended. The current members of the Steering Committee are:

Julia Rholes, University of Mississippi (Chair)  
Terry Birdwhistell, University of Kentucky  
Larry Boyer, East Carolina University  
Sylverna Ford, University of Memphis  
Lance Query, Tulane University  
Judy Russell, University of Florida  
Kay Wall, Clemson University

Although two of the thirteen Regional Depository Libraries in the Southeast Region are not ASERL members,<sup>37</sup> 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>38</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 **expected** to identify at least one agency or topic for which it can serve as a Center of Excellence.<sup>39</sup> Other Selective Depository

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<sup>37</sup> The two Regional Depository Libraries that are not members of ASERL are Auburn University, Montgomery, and Louisiana Tech University.

<sup>38</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 CFDP model can be found on the ASERL website at <http://www.aserl.org>.

<sup>39</sup> An exception has been made for Tulane because its federal documents collection was destroyed by Hurricane Katrina and its does not have sufficient depth or breadth in any particular agency or topic to provide a reasonable basis for a Center of Excellence collection.

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Libraries in the Southeast Region are **strongly encouraged** to consider serving as a Center of Excellence for some agency or topic that is relevant to their constituencies.

### 3. Next Steps

The ASERL Dean's FDLP Steering Committee has 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 that do not currently have them, the Steering Committee 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 Steering Committee 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 Julia Rholes ([jrholes@olemiss.edu](mailto:jrholes@olemiss.edu)), Judy Russell ([jcrussell@ufl.edu](mailto:jcrussell@ufl.edu)) or John Burger ([jburger@aserl.org](mailto:jburger@aserl.org)).

Additional documentation and up-to-date status reports describing this effort can be found on the ASERL website, [www.aserl.org](http://www.aserl.org).