

**SOUTHEAST REGION GUIDELINES FOR
MANAGEMENT AND DISPOSITION OF
FEDERAL DEPOSITORY LIBRARY COLLECTIONS
THE COLLABORATIVE FEDERAL DEPOSITORY PROGRAM**

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I. Background

In November 2009, deans and directors from ASERL¹ member institutions that serve as Regional or Selective Federal Depository Libraries affirmed that the federal documents collections in the Southeast Region² 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.³

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 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.

The following pages present the common set of collection management and disposition policies and procedures, as well as documented best practices, developed through a reiterative comment and review process⁴ with the Federal Depository Libraries in the Southeast Region. This plan, the foundation for the Collaborative Federal Depository Program [CFDP], first received unanimous approval by ASERL library deans and directors in November 2010, was recognized by GPO as being in compliance with GPO requirements in May 2012, and was again reaffirmed by ASERL library deans and directors in July 2012.

¹ 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.

² 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 July 2018 just under 27% of all Federal Depository Libraries are in this region. This includes 13 of the 46 Regional Depository Libraries (28%) and 293 of the 1,090 Selective Depository Libraries (26.9%).

³ 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.

⁴ On April 22, 2010, a Discussion Draft 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. 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 then accepted at the ASERL Fall Membership Meeting in Durham, North Carolina, on November 18, 2010. Archived copies of these documents are available on the ASERL website at <http://bit.ly/2oJf881>

While many aspects of the plan have been implemented, it is well recognized that full implementation will take several years. As of March 2018, the development of the “Center of Excellence” [COE] model, whereby a library seeks to construct a comprehensive tangible collection of U.S. government information for an agency, a subject area, or format includes 41 Depository Libraries in the Southeast serving as Centers of Excellence (11 Regional Libraries, 30 Selective Libraries). Not limited to ASERL member libraries, 22% of COEs are depositories outside ASERL’s membership. COE libraries have adopted six Cabinet-level agencies, 1 format collection (maps), 3 subject collections (Panama Canal, Cuba and the City of Atlanta) and 230 SuDoc classifications.

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.

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 substantial expense to match cataloging records to holdings, and while significant work is being done by Centers of Excellence and ASERL FDLP libraries in the southeast, this is a goal that is likely to 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 most Regional Depository Libraries in the southeast currently do not have the resources to catalog and inventory their entire federal documents collection⁵, or acquire all relevant documents missing from their 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 at least one well documented, comprehensive FDLP collection. This will ensure that the region includes at least one complete cataloged set of print publications and maps distributed as part of the Federal Depository Library Program and, to the extent possible, its predecessor programs. Libraries may choose to include additional materials beyond the scope of the FDLP.

This does not imply that there will only be one Regional Depository Library collection in the Southeast Region. Rather, it means that among the Depository Libraries in the southeast there will be collaboration to take responsibility for cataloging and inventorying a portion of the

⁵ As part of their commitment to catalog their entire collection of federal documents, since 2008, the University of Florida Libraries has cataloged over 660,000 volumes, with 15,252 original cataloging records contributed to OCLC/WorldCat for use by other libraries.

collection as a Center of Excellence, 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 this comprehensive collection 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.⁶

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 keep at least one print copy of each superseded item to ensure that these materials will be available for historical research and other purposes, including future digitization. This will include 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 one complete print set of the historical CFR volumes in the southeast will ensure future availability.⁷

C. Substitution of Microfiche and Commercial Products

I. Dual Distribution

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 ASERL Depository Libraries in the Southeast Region agree to keep at least one print copy of each official federal publication distributed in print by the FDLP somewhere within the southeast 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

⁶ 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.

⁷ The Legal Information Center at the University of Florida serves as a Center of Excellence for their complete retrospective collection of the CFR. 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.

products that may have been substituted for official print publications to determine which Depository Libraries already have significant historical collections of official print items and are willing to expand them into comprehensive sets.

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 one complete print set of the historical hearings through collaboration by Depository Libraries in the southeast will ensure future availability.

Dual distribution items include several very large sets of publications such a 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

II. Sole Distribution

There are microfiche that were distributed by GPO as the sole distribution media for some titles. If these materials were microfilmed by GPO, silver master microfiche were provided to the Library of Congress and the National Archives and Records Administration (NARA). If they were provided by other federal agencies, such as the U.S. Department of Energy Office and Scientific and Technical Information (OSTI), that agency remains responsible for archiving those materials directly or through NARA. Some agencies, including OSTI, are systematically digitizing the materials for public access, though GPO remains responsible to coordinate with publishers to ensure preservation and digital access. 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).

III. Centers of Excellence

The effort to develop comprehensive distributed federal document collections in the Southeast Region began with the assistance of an IMLS grant.⁸ In 2006 and 2008, three Regional Depository Libraries in the southeast agreed to become the first Centers of Excellence for specific federal agencies⁹. As a Center of Excellence, the Center is responsible for cataloging

⁸ IMLS National Leadership Grant LG-07-09-0095-09 was funded from October 1, 2009, through September 30, 2012.

⁹ The three initial Centers of Excellence are:

1. Works Progress Administration 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.

and inventorying its holdings for their chosen 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 and the University of Kentucky committed to the digitization and provision of online public access to the documents in their Center of Excellence collections.¹⁰

Other Depository Libraries in the southeast can use the cataloging records and inventory of missing items created by the Centers of Excellence to evaluate and catalog their own holdings. This will 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 become priority needs for the Southeast Region and the Regional Depository Libraries in the southeast 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).

Since 2010, 41 Federal Depository Libraries in the Southeast Region have agreed to become Centers of Excellence for specific agencies or sub-agencies. In several instances Centers of Excellence have been identified by format¹¹ or by subject matter¹².

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 maintained by ASERL.¹³

IV. Borrowing and Lending

There is a strong preference for responding to requests to borrow Federal Documents with digital delivery through systematic or on-demand digitization and the use of stable public domain copies from other sources. Lending print publications will be decided on a case by case basis by the lending institution, recognizing that some items are truly rare or fragile and should not be loaned.

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.

¹⁰ 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.

¹¹ The University of Georgia has agreed to serve as a Center of Excellence for maps, regardless of the publishing agency.

¹² For example, the University of Florida has agreed to serve as a Center of Excellence for federal documents relating to Cuba, 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.

¹³ The master list of Centers of Excellence is available at <http://www.aserl.org/programs/gov-doc/>

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.¹⁴

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.¹⁵ 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 Depository Library has approved the disposal of the tangibles, and the online version is official, complete, and free of charge to the user.¹⁶

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.¹⁷

¹⁴ 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.

¹⁵ 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.

¹⁶ This guidance is available at <https://www.fdlp.gov/requirements-guidance-2/guidance/30-weeding-a-depository-collection>.

¹⁷ 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

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, Depository Libraries 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 disposition process is described in Section VI 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.¹⁸ 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.

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.

To streamline the disposition process, and to facilitate the filling of gaps in holdings, the Collaborative Federal Depository Program implemented use of the ASERL Documents Disposition Database, a software tool developed by the University of Florida.¹⁹ 72% of the depository libraries in the ASERL region use the database to manage their disposition process,

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.

¹⁸ 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 (<https://bit.ly/2KB7vxA>).

¹⁹ The University of Florida hosts this 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. As of 2018, 72% of the depository libraries in the ASERL region use the database to manage their disposition process. A LibGuide describing the software and its use is available at: <http://guides.uflib.ufl.edu/ASERL-DispositionDB>.

and since its launch in 2012 through June 2018, more than **78,500** documents posted for disposal have been adopted by another library, further strengthening FDLP collections in the region.

1. Content of Disposition Lists

Depository Libraries in the Southeast Region wishing to discard tangible documents must prepare an electronic Disposition List for submission to the ASERL Documents Disposition Database 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 1:²⁰   A 13.36/2-6:R 10-RG-125 Tongass National Forest: Juneau area trails guide. 2000.

Example 2:²¹    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.

²⁰ 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.

²¹ 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.

2. Disposition Schedule: Priority Access

Disposition lists will be posted to the ASERL Documents Disposition Database, for 45 days. This is a cumulative process; 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.

Elapsed Days	Libraries with Access	Priority Access	Comments
Days 1 - 45	Primary Regional Library(ies)	<p>Priority A:</p> <p>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.</p>	The Primary Regional Library(ies) have exclusive access for the first five days and shared access to discards from their Affiliated Libraries for the remaining 40 days.
Days 6 - 45	Affiliated Depository Libraries	<p>Priority B:</p> <p>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.</p>	Affiliated Libraries 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.
Days 11 - 45	All Center of Excellence (COE) Libraries	<p>Priority C:</p> <p>In order to build comprehensive collections at the Centers of Excellence, the Centers 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</p>	<p>This applies only to discards within scope of the COE's responsibility.</p> <p>The Primary Regional Library and its affiliated Selective Depository Libraries also continue to have access to items for which they are</p>

		of Excellence do 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. The Centers have priority access for 14 days beginning 11 days after the qualifying disposition list is posted.	eligible under Priority A or Priority B that remain available during this time.
Days 26 - 45	Other Regional Libraries in the Southeast	Priority D: 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 have priority access for five days beginning 26 days after the qualifying disposition list is posted.	Regionals already have access to discards from their own states/territories and their individual areas of COE responsibilities. This expands their access to all other available discards. Selective Depository Libraries that are Centers of Excellence may continue to select items within their areas of responsibility during this five day period.
Days 31 - 45	All Depository Libraries in the Southeast	Priority E: 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 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.



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. If this is the case, it is strongly recommended that these items be offered via the national Needs and Offers List processes²² maintained by the Superintendent of Documents (See Section VI.3.C below.)

A. 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.²³ 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.

B. Needs Lists

Depository Libraries may generate Needs Lists as they identify items that are missing from their collections that they wish to acquire. The ASERL Documents Disposition Database has the capability to 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.

A Center of Excellence must 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.²⁴ 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 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 Excellence²⁵ for that agency (or any other library) needs anything from their sets.

²² FDLP eXchange, developed by GPO, was released in June 2018 and replaced the former national Needs and Offers List. More information about FDLP eXchange is available at <https://www.fdlp.gov/project-list/fdlp-exchange>.

²³ 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.

²⁴ 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 a COE collection. Items on its Needs List will only be matched under one of the other priorities.

²⁵ The master list of Centers of Excellence is available at <http://www.aserl.org/programs/gov-doc/>

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, as ASERL Regional Libraries agree to retain at least one copy of each superseded item to ensure these materials are available for historical research and future digitization efforts, libraries discarding superseded items are strongly encouraged to see if a Center of Excellence²⁶ (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 processes maintained by the Superintendent of Documents. This automatically applies to items with publication dates prior to 1907.²⁷ 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 1907.²⁸

A library submitting materials to the National Needs and Offers List²⁹ determines the number of days they choose to make the item available. In doing so, the library is making a commitment to retain these materials for the additional period of time **beyond the ASERL 45-day cycle**.

4. Disposal

Failing to find a recipient after complying with these instructions, the 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

A. Responsibility of Disposing Library.

When disposing of materials, every Regional Depository Library in the Southeast Region and every ASERL member library that is a Selective Depository Library is expected to pay for shipping. Other Selective Depository Libraries in the Southeast Region, when disposing of materials, are strongly encouraged to pay shipping.

B. Charges.

²⁶ Ibid.

²⁷ 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.

²⁸ 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.

²⁹ As of October 2017, the ASERL Documents Disposition Database has the functionality to export Needs lists as well as expired Offers for materials with a publication date prior to 1907 to facilitate an import into FDLP eXchange. This functionality was implemented to avoid redundant data entry.

Shipping charges should not exceed \$50 per shipment to a single library. 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.

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. Centers of Excellence are required to catalog all items acquired through the disposition process that fall within their areas of responsibility.

Other Selective Depository Libraries in the Southeast Region are **strongly encouraged**, but not required, to catalog all items acquired through the disposition process.

When cataloging, 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. For more information, please see the best practices documentation on the ASERL website at www.aserl.org.

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 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;
- 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.B, Centers of Excellence must 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 uses 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.

The processing of Needs Lists follows the 45-day priority access cycle detailed in Section VI.2.

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.³⁰

As noted in Section VI.2.A 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. Governance

The ASERL Collaborative Federal Depository Program is governed through a two-tiered structure to foster the growth of the program and provide support and management for long-term, efficient and effective operations.

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

1. ASERL Federal Depository Library Program (FDLP) Steering Committee

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, at which time the ASERL FDLP Steering Committee was established to provide long-term oversight and governance for this initiative, as well as to lead the effort to

³⁰ 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.

identify Centers of Excellence necessary to establish at least one comprehensive FDLP collection in the region. The Steering Committee includes library deans and directors from Regional and Selective Depository Libraries in the Southeast Region and members are appointed by the ASERL Board of Directors. The Committee meets as needed, but at least annually, to ensure the program is functioning as intended.

2. ASERL Collaborative Federal Depository Program (CFDP) Steering Committee

Comprised primarily of documents coordinators at Regional and Selective Depository Libraries at ASERL member organizations, the Committee provides guidance and support for the program, reviews processes and reports, participates in program promotion and evaluates and assists in resolution of issues. The CFDP Steering Committee meets quarterly.

IX. Administration

1. Support for Implementation

Deans and Directors of the Regional and Selective Depository Libraries in the Southeast Region 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, requires additional resources, particularly for cataloging and inventorying portions of the local documents collection. This is 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.³¹ Other Selective Depository 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.

2. 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

³¹ An exception has been made for Tulane because its federal documents collection was destroyed by Hurricane Katrina and it does not have sufficient depth or breadth in any particular agency or topic to provide a reasonable basis for a Center of Excellence collection.

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.

3. Program Review

A review of the Guidelines will be conducted every 3 years, with the next review to take place in 2021. Comments, questions, feedback or other input on the CFDP program can be submitted at any time to any of the contacts in the following section.

4. Contact Information

- ASERL FDLP Steering Committee: Judy Russell (jcrussell@ufl.edu)
- ASERL Program Coordinator: Cheryle Cole-Bennett (ccole-bennett@aserl.org)
- ASERL Director: John Burger (jburger@aserl.org)

Additional documentation and up-to-date status reports describing this effort can be found on the ASERL website, www.aserl.org.