ASERL’s Collaborative Federal Depository Program

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Overview of the ASERL Collaborative Federal Depository Program

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The Implementation Plan is the product of a process that first began in 2006, involving many years of discussion among ASERL library deans/directors and documents librarians.

In 2009, ASERL was awarded a three-year grant from the Institute of Museum and Library Services (IMLS) to support ongoing development of the Collaborative Federal Depository Program (CFDP).

The Plan was approved by GPO and the Joint Committee on Printing in 2012.
CFDP – the Basics

• **Constraints** – Work within the legal framework of the Federal Depository Library Program (FDLP) – 44 USC Chapter 19

• **Collections** – Create “Centers of Excellence” for print federal document collections at depositories in the SE to ensure multiple, complete retrospective collections, by agency (e.g. Dept. of Education), topic (e.g. Panama Canal), or format (e.g. Maps)

• **Services** – Support “Centers of Excellence” with subject expertise, access to collections, cataloging, and a commitment to identify and acquire a comprehensive collection

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CFDP at a Glance

• 10 states and 2 territories with 248 depository libraries: Alabama, Florida (includes Puerto Rico and the US Virgin Islands), Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Virginia

• 12 Regional Depositories in 10 states

• 37 of ASERL’s 38 members are Federal Depository Libraries

• Libraries do not have to be ASERL members to participate
CFDP at a Glance

• 40 libraries in the SE serve as Centers of Excellence
  ➢ 11 are Regional Depository Libraries
  ➢ 29 are Selective Depository Libraries
  ➢ 8 are not ASERL members

• 219 Centers of Excellence Collections
  ➢ 215 SuDoc stems, of which 6 are Cabinet-level agencies
  ➢ 1 based on format (regardless of agency)
  ➢ 3 based on subject (regardless of agency)

• 14 agencies have been adopted by 2 Libraries
Center of Excellence Responsibilities

• Inventory and evaluate holdings
• Catalog each item
• Create a bibliography of all known titles, owned and not owned
• Add Needs & Offers to the ASERL Disposition Database
• Fill gaps to ensure a comprehensive print collection
• Provide public access and ensure preservation
• Digitize for preservation and access (optional)
• Promote the use of the collection
222 Libraries use the ASERL Disposition Database (including 25 in Maryland, Delaware, and DC)

12 Regional Depository Libraries agreed to a common set of disposition guidelines for the SE

Automates Needs & Offers throughout the SE in an easy to use database

Facilitates the building of Center of Excellence collections

Software developed at the University of Florida to meet CFDP requirements

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45-day offer cycle for withdrawn items

- **1st** choice to the primary Regional Depository Library
- **2nd** choice Selective Depository Libraries in the state
- **3rd** choice to Centers of Excellence (not already allowed access)
- **4th** choice to all other Regional Libraries in the SE
- **5th** choice to all other Depositories in the SE

Since the database was launched in 2012, more than **66,450** documents posted for disposal have been claimed by another library and added to their collections.

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Collaborating to Engage in Focused Collection Development at a Federal Regional Depository

Sandra McAninch
Head, Federal Depository Unit and Regional Depository Librarian
University of Kentucky

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The University of Kentucky (UK) is participating as a Center of Excellence (COE) for the Works Progress Administration (WPA), the Smithsonian Institution, and the Appalachian Regional Commission (ARC) in the Association of Southeastern Research Libraries’ (ASERL) Collaborative Federal Depository Program (CFDP). This collaborative effort is designed to distribute collection development for all Federal agencies across the entire Southeast as Judy has described.

I will describe how UK has focused its depository collection development efforts on non-COE agencies, and reduced its retrospective collection development for other institutions’ COE agencies.
Focusing Collection Development at a Regional Depository

• Identify agencies collected by other COEs in the Southeast that our institution no longer needs to collect retrospectively, in consultation with our Collections Advisory Committee (CAC), and:
  -- borrow materials from COE via ILL or link to digital copies of publications
  -- edit offers submitted to ASERL Documents Disposition Database by other depositories in Kentucky to eliminate any offers from these agencies; reduces number of offers to review

• Continue to collect agencies important to UK even if there is another COE in the Southeast, e.g., US Geological Survey; CAC made these decisions

• Continue to collect agencies for which there is not a COE in the Southeast
Consulting with UK Libraries’ Collections Advisory Committee

Data included:

- SuDoc stem
- Circulation statistics
- ILL statistics
- COE institution
- Publication status
- Comments
Consulting with UK Libraries’ Collections Advisory Committee (cont.)

Agencies identified for continued local development to be reviewed periodically to assess:

- Continued local value of tangible format
- Cost vs. benefit of continued development efforts

Emergency Conservation Work Agency (Y 3.En 3), [dead--UT/K]
Congressional Budget Office (Y 10), [alive--Wm. & Mary]

Federal Government agencies that have been adopted by someone else in ASERL as a Center of Excellence that are recommended for continuing retrospective collection development based on UK's needs and strength of program are:

- Agricultural Research Service (A 77)[2]
  [alive--Va. Tech--this is an agency we have already approved as one of our USDA COEs]
- International Trade Administration (C 61)[1]
  [alive--Duke]
  -- used by Patterson School of Diplomacy & Int'l. Commerce
- Military History Center (D 114)[13]
  [alive--Duke]
  -- used by History Dept.
- Naval Historical Center (D 221)[3]
  [alive--Duke]
  -- used by History Dept.
- Fish and Wildlife Service (I 49)[21]
  [alive--Clemson]
  -- topic is important to Kentucky citizens
- International Trade Commission (ITC)[3]
  [alive--Duke]
  -- used by Patterson School of Diplomacy & Int'l. Commerce
Evaluating Process and Results

Data collected for COE SuDoc stems we continue to collect retrospectively:

• Offers/needs matches claimed from other institutions’ COE agencies selected for continued development represented 36% of both the 2012 and 2013 total items claimed from Kentucky depositories*

• No offers/needs matches were claimed for 42% of other institutions’ COE agencies selected for continued development in 2012; this decreased to 32% in 2013, i.e., we acquired more materials in 2013 from the 19 COE agencies that we had elected to continue collecting than we did in 2012*

*due to an increase in the number of other institutions’ COE agencies selected for continued development in 2014 (now 35), and incomplete data on needs matches for 2014 and 2015, we can’t update this data for comparison purposes until the end of 2017
Evaluating Process and Results (cont.)

Data collected for COE SuDoc stems we no longer collect retrospectively:

- Offers ignored from other institutions’ COE agencies, i.e., NOT selected for continued retrospective development (69 SuDoc stems in 2012, 101 in 2013), represented 8% of 2012 total offers, 22% of 2013 total offers--increasing the number we ignore saves us time.

- Offers ignored from other institutions’ COE agencies increased to 104 SuDoc stems in 2014, but represented only 16% of 2015 total offers and 15% of 2016 total offers, indicating that this time-saving benefit has leveled off and/or most of our depositories have discarded what they don’t want in these stems.

- The other institutions’ COE agencies we have chosen to ignore have been eliminated from our needs list, so needs matches never occur for these agencies, thus reducing the number of items to evaluate for claiming.
Additional Observations

- Needs list match process through ASERL Disposition Database either costs or saves additional resources according to collection decisions

- Agency-specific statistics will inform future Federal Depository Unit recommendations and CAC decisions

- Cost-benefit results of ignoring other institutions’ COEs in our offers process are heavily dependent on discard patterns within our state
Aligning with UK Libraries’ Strategic Plan

Objective 4.1: UK Libraries will develop strategic partnerships to inform, educate, and improve the health and well-being of the citizens of the Commonwealth

Strategy 4.1.1 - Develop mutually beneficial partnerships with external organizations to expand the research enterprise and promote academic excellence

Objective 4.2: UK Libraries will strengthen access to unique UK Libraries’ resources in general and specifically to research on and about the Commonwealth

Strategy 4.2.3 – Develop and sustain the Association of Southeastern Research Libraries’ Collaborative Federal Depository Program's Centers of Excellence for all agencies to which UK Libraries has committed in order to provide perpetual access to the publications
Preservation and Access of Regional Federal Depository Library Collections

Bill Sudduth
University of South Carolina
Head, Government Information & Maps
University of South Carolina’s Regional Federal Depository Library Collection

- FDL since 1884
- Shared Regional with Clemson University 1984-2010
- Full Regional since 2010
State of the FDL Collection in 1999

- FDL collection at 125% capacity
- Collection area subject to water leaks
- Collection not browse-able
- Only items since 1976 were in the Library’s catalog
- Barcoding and circulation of items done on the fly
- New High-Density Annex open Fall 1999
Selection of items for Annex

• Fragile items or items needing stable environmental conditions

• Materials that had alternative formats
  o Serial Set – volumes 1-14000 in annex
  o Little used materials/low recall rate
  o Focused on late 19th and early 20th century brittle paper era

• Large run titles or serials – more efficient to process
Processing Materials for the Annex

- Items must have a record in the OPAC and identified as being in the annex
- All items have items level records and linked to a single barcode
  - Exception – topographic maps were sent in batches with single barcodes
- All materials must be free of dust and mold
Access to the Collection

• Through the Library’s OPAC

• Recalled materials delivered twice a day
  o Online form – items requested by patrons delivered to circulation
  o Staff requested items are sent to the department
    • This included library use only items
  o Online form later replaced by “Request” button in OPAC
How much is in Storage

• Over 198,000 items measuring over 10,000 linear feet
  o That’s about 1.8 miles or 3 km of shelving
  o About 40% of the physical collection

• 5,468 CD-ROMs measuring 154 linear feet

• 1,369 posters

• Over 200,000 map sheets – topo maps for 47 states
  o South Carolina, Georgia, and North Carolina topos kept in-house
  o Most states sent in bundles – not individually barcoded
Benefits

• Created much needed space when there was none
  o Reference collection reduced by 576 linear feet (six double-sided ranges)
  o Seating increased from 20 to 90+ seats

• Ability to become Center of Excellence for Education

• Added large number of pre-1976 materials to OPAC

• Sense of accomplishment, measurable results, better control of collections

• Space to combine Government Information & Maps collections and service points
  o Map Library space became University’s new career Center
Costs
(not necessarily a downside)

- Increased workload from 2001 through 2008
- At first, the need to keep pace with new receipts
- Collection in worse condition than thought
  - cleaning and mold abatement
- 2012, Annex at 80+% capacity
  - Need to ration space – at first, limited to 100 linear feet per year
    - 2013-2014 sent 40 linear feet
    - 2014-2015 sent 63 linear feet
    - 2015-2016 sent 268 linear feet
    - 2016-2017 sent 232 linear feet

  Average last four years 151 linear feet per year
Final take-away

• South Carolina has had a functional storage plan since 2000 that includes Federal Depository materials

• Materials are more accessible and well preserved

• Items in the storage facility treated equally to other library materials

• Improve service and collection for GovInfo and Maps

• Ability to combine GovInfo and Maps collections and service points in 2014

• Increased seating in area over four times

• Having Career Center down the hall has increased foot traffic by department
On the Horizon & Conclusions

Judith C. Russell
Dean of University Libraries
University of Florida
On the Horizon

- **Guidelines** – ASERL will review, revise and reaffirm the Guidelines in the coming year.

- **Centers of Excellence** – ASERL will continue to encourage Federal Depository Libraries in the southeast to establish additional Centers of Excellence.

- **ASERL Disposition Database** – ASERL has recently implemented an enhanced Needs list export functionality to interface with FDLP eXchange, and an Offers export is in development.

- **Revision of 44 USC Chapter 19** – ASERL will participate in efforts to revise the law governing the Federal Depository Library Program, sharing the lessons learned from the implementation of the Guidelines.
Conclusions

• Successful and innovative program that works within the current limitations of 44 USC Chapter 19

• Benefits depository libraries of various sizes and types throughout the southeast
  o Disposition Database and other tools have reduced administrative burdens on depository libraries

• Centers of Excellence focus on specific, highly relevant portions of the government documents collection
  o Ensures preservation and access through the commitment to identify and acquire comprehensive Center of Excellence
  o Improves access to the collections through cataloging and, where possible, digitization, not just in the southeast
  o Increases the visibility and perceived value of the FDLP collection
  o Enables documents librarians to increase subject expertise and expand services
Questions?
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The Collaborative Federal Depository Program
http://www.aserl.org/programs/gov-doc/