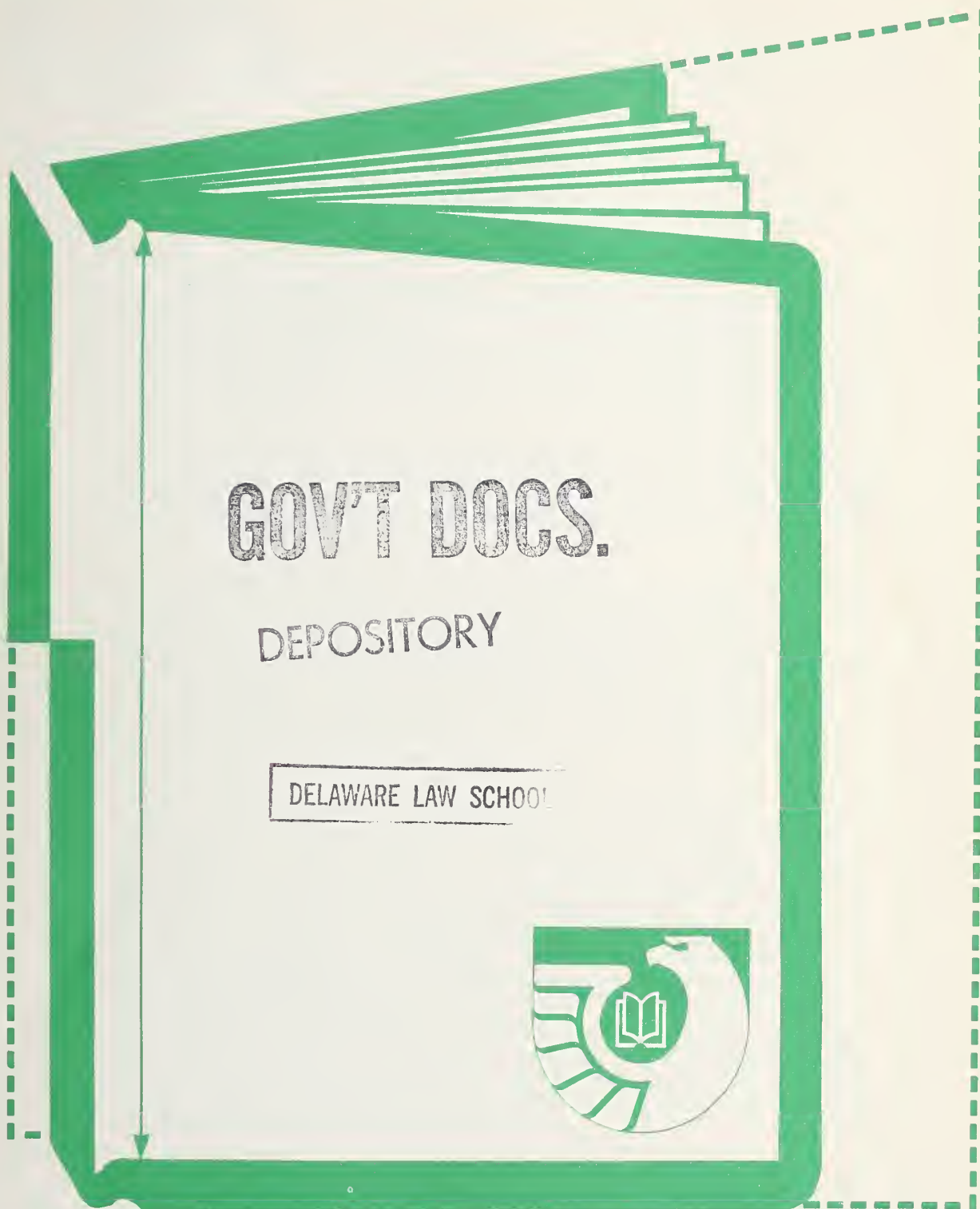


1.23/4
4/978

Guidelines for the Depository Library System

as adopted by the Depository Library Council to the Public Printer, October 18, 1977



with ← →

Minimum Standards for the Depository Library System

as adopted October 22, 1976



United States
Government
Printing Office

Washington, D.C. 20401

OFFICE OF THE PUBLIC PRINTER

FOREWORD

For over a century the depository library program, operating under various Federal statutes, has provided the general public with access to publications of the United States Government. Congressional designation of selective and regional depository libraries has made this program national in character and scope.

Currently, the depository library program is distributing more than 3,800 classes of Government publications to a broad range of libraries. The 1,217 designated depositories include libraries of Federal and State Governments, colleges and universities, special and public libraries.

In operating the depository library program, the Public Printer and the Superintendent of Documents have had the excellent professional advice of the Depository Library Council to the Public Printer. Council members have generously given of their time and thought to help the program better serve the public and the libraries which implement it. Their recommendations have now brought forth specific guidelines designed to make the program even more effective.

To all connected with the shaping of these guidelines, let me extend the thanks of the Public Printer and the Superintendent of Documents. They represent a remarkable effort from their genesis within the Council in 1974, and the creation of a Committee on Standards chaired by a most patient and persistent documents librarian, Catharine Reynolds. Many others worked with her subsequently in disseminating drafts through Public Documents Highlights to the large community of documents librarians. The thoughtful responses of hundreds of librarians working daily with documents were integrated into this final document. It bears the stamp of participatory professionalism in the finest sense, and will go far in making the publications of our Federal Government more readily accessible to all citizens through the depository library program.


JOHN J. BOYLE
Public Printer



as adopted by Depository Library Council

October 18, 1977.

1. OBJECTIVES OF THE DEPOSITORY LIBRARY SYSTEM.

- 1-1 The purpose of depository libraries is to make U.S. Government publications easily accessible to the general public and to insure their continued availability in the future.
- 1-2 The purpose shall be achieved by a system of cooperation wherein depository libraries will receive free Federal public documents in return for making them accessible to the general public in their areas.
- 1-3 The guidelines are to be considered a recommended level of conduct by all depositories unless otherwise specified by statute or regulations thereunder.

2. SUPERINTENDENT OF DOCUMENTS, U.S. GOVERNMENT PRINTING OFFICE.

- 2-1 Obtain new Federal publications and forward free of expense to depository libraries without delay in accordance with Chapter 19, Title 44 U.S.C.
- 2-2 Provide all issues of series in the List of Classes of United States Government Publications Available for Selection by Depository Libraries, including those issues not printed at the Government Printing Office.
- 2-3 Actively gather and distribute in paper or microformat all Federal publications of public interest or educational value not printed at the Government Printing Office which are within the scope of 44 U.S.C. 1902.
- 2-4 Provide samples and/or annotations for new titles offered to depositories, and return cards for selection purposes.
- 2-5 Subdivide item numbers as necessary to insure that libraries need receive only wanted documents.
- 2-6 Supply shipping lists containing item numbers, titles of documents, classification numbers, information on classification changes, corrections to previous lists, and price information (if available) for sales publications.
- 2-7 Supply forms for claiming items selected but missing from the shipment, damaged or incomplete.

- 2-8 Offer choice of format: paper, microform or other; however, the Government Printing Office, in consultation with depository libraries, should have the option of providing only one format when the nature of the material warrants it.
- 2-9 Provide a timely and comprehensive system of catalogs, bibliographies and indexes to Federal publications.
- 2-10 Provide a standard classification system for Federal documents and related aids such as lists of subject headings.
- 2-11 Provide assistance to libraries on problems of using the Sudocs system of classification.
- 2-12 Cooperate with the National Archives that the Archives may acquire and preserve a comprehensive collection of Federal publications.
- 2-13 Issue instructions for the selection, claiming, retention, and withdrawal of depository documents and other activities related to depository libraries.
- 2-14 Allocate funds for the evaluation of depository libraries through questionnaires, surveys, and inspections at intervals considered necessary by the Superintendent of Documents, to insure compliance with the depository law.
- 2-15 After advance notice to the library concerned, investigate conditions in depository libraries by personal visits.
- 2-16 Provide written notice to a library about unsatisfactory conditions, and if not corrected within six months, consider deletion of the library from the list of depositories.
- 2-17 Announce new policies and changes on a regular basis to all depositories.
- 2-18 Cooperate with publication projects which contribute to use of Federal documents.
- 2-19 Consult at regular intervals with the Depository Library Council to the Public Printer on matters related to depository libraries, including the development of standards and bibliographic aids, changes in the Sudocs classification system and the selection of materials for micropublication.
- 2-20 Collect, compile, analyze and publish pertinent statistics on a regular basis.
- 2-21 Provide sufficient copies to fill claims for publications missing from depository shipments.

3. DESIGNATION OF NEW DEPOSITORY LIBRARIES.

- 3-1 There may be up to two depositories in each Congressional district to be designated by Representatives, not more than two others within the state designated by Senators, and other depository libraries specifically provided for in Chapter 19, Title 44 U.S.C.
- 3-2 The library shall be open to the general public for the free use of depository publications, as provided in Chapter 19, Title 44 U.S.C.
- 3-3 The library shall have the interest, resources and ability to provide custody of the documents and public service.
- 3-4 The library should possess at least 15,000 titles other than government publications.
- 3-5 The library should be prepared to keep its documents collections open the same hours as other major parts of the library, when the library is open for full range of services.
- 3-6 When a new vacancy occurs through redistricting or by the resignation or deletion of an existing depository, this fact should be made known by the Superintendent of Documents to the state library authority, the regional depository, if any, and the state professional associations.
- 3-7 Eligible libraries shall apply to the state library authority for evaluation and recommendation, with notice of the application to the regional depository, if any. The library should be prepared to offer statistics on the size and character of its collection, population served, budget, and if an academic library, the size of the student body, and need for research materials.
- 3-8 The evaluation should relate to community interests and indicate staff, space and budget to be allocated to the collection and the number, scope and character of the items to be selected. The state library authority after consulting with other libraries, the regional depository, if any, and representatives from the professional associations, will make a recommendation to the Senator or Representative based on location in relation to other depositories, the need for an additional depository and the ability of the library to provide custody and service.
- 3-9 Libraries of independent agencies and additional libraries in executive departments may be designated depositories upon certification of need according to the provisions of 44 U.S.C. 1907.

4. DEPOSITORY COLLECTIONS.

- 4-1 Each depository library should maintain a basic collection available for immediate use consisting of all titles in Appendix A (attached).
- 4-2 Each library should acquire and maintain the basic catalogs, guides and indexes, retrospective and current, considered essential to the

reference use of the collection. This should include selected non-governmental reference tools.

- 4-3 Each depository should select frequently used and potentially useful materials appropriate to the objectives of the library.
- 4-4 Each depository should select materials responsive to the needs of the users in the Congressional district it serves.
- 4-5 Selection of at least 25% of the available Item Numbers on the Classified List is suggested as the minimum number necessary to undertake the role of depository library. A prospective depository intending to select fewer than 25% should provide additional justification for its designation as a depository.
- 4-6 Depository libraries should coordinate selections with other depositories in the district to insure adequate coverage within the area.

5. ORGANIZATION OF THE DEPOSITORY COLLECTION.

- 5-1 The library should check all daily shipping lists to insure that items selected are received, and if not, promptly claimed.
- 5-2 Each publication in the shipment should be marked to distinguish it from publications received from other sources. Each publication should be marked with the date of the shipping list or the date of receipt.
- 5-3 The library should record its depository accessions.
- 5-4 The minimum record for a depository library should show the library's holdings and the call numbers or locations where they may be found.
- 5-5 A method of classification should be adopted for precise identification and location of materials requested by library users.
- 5-6 The method of classification adopted shall be optional with the library; however, it is suggested that libraries which integrate their documents should maintain a shelf list by Sudocs number showing disposition of the publication.
- 5-7 Whenever possible documents should be available for public use within 10 days after receipt; they should be retrievable even if cataloging information is not yet available.
- 5-8 The library should maintain statistics of the collection needed for the Biennial Survey.
- 5-9 The library will retain one set of item cards, both items selected and not selected.

6. MAINTENANCE OF THE DEPOSITORY COLLECTION.

- 6-1 Collections should be maintained in as good physical condition as other library materials, including binding when desirable.
- 6-2 Lost materials should be replaced if possible.
- 6-3 Unneeded publications should be made available to other libraries in accordance with Chapter 19, Title 44 U.S.C.
- 6-4 Libraries served by a regional depository may withdraw publications retained for a period of at least five years after securing permission from the regional library for disposal in accordance with the provisions of 44 U.S.C. 1912.
- 6-5 Depository libraries within executive departments and independent agencies may dispose of unwanted Government publications after first offering them to the Library of Congress and the Archivist of the United States, in accordance with the provisions of 44 U.S.C. 1907.
- 6-6 The provisions of 44 U.S.C. 1911, disposal of unwanted publications, do not apply to libraries of the highest appellate courts of the states (see 44 U.S.C. 1915).
- 6-7 Superseded material should be withdrawn according to Instructions to Depository Libraries (latest edition).
- 6-8 Depository publications should be protected from unlawful removal as are other parts of the library's collections.

7. STAFFING.

- 7-1 One person should be designated by the library to coordinate activities and to act as liaison with the Superintendent of Documents in all matters relating to depository libraries.
- 7-2 This person should be responsible for
 - a) selection, receipt and claiming of depository distributions
 - b) replies to correspondence and surveys from the Superintendent of Documents
 - c) interpreting the depository program to the administrative level of the library
 - d) performance and/or supervision of stated aspects of service, or in an integrated collection, a knowledge of persons to whom responsibilities are delegated, such as:
 - (1) organization for use
 - (2) maintenance of records of the collection
 - (3) physical maintenance of the collection
 - (4) establishment of withdrawal procedures
 - (5) maintenance of reader services
 - (6) promotion of use of collection
 - (7) preparation of budgets
 - (8) submission of reports.

- 7-3 The liaison person should be a professionally qualified librarian.
- 7-4 The liaison person should be directly responsible to the administrative level of the library.
- 7-5 Additional professional staff should be added depending on the size and scope of the library and the methods of organization of the collection.
- 7-6 Professional staff should be assisted by support staff. A suggested proportion is 1 professional to 3 support staff.
- 7-7 Librarians and such support staff as indicated by their responsibilities should keep up to date on new developments through participation in professional societies, attendance at document workshops, and professional reading.

8. SPACE STANDARDS.

- 8-1 Space for depository operations should be of the same quality as other areas of the library. It should be attractive, comfortable and have acceptable levels of lighting, temperature, ventilation and noise control. It should be functional, flexible and expandable.
- 8-2 The space should contain well planned areas for services provided, reference, circulation, loan and other public service activities as well as adequate space for the processing of new materials and housing of the collection.
- 8-3 It should include private work areas for staff members and the administrator.
- 8-4 All parts of the collection should be readily accessible, preferably open shelf, but in all circumstances, should be located so that materials may be retrieved in a reasonable period of time.
- 8-5 If documents are maintained in a separate division of the library, the space provided should be conveniently located to encourage use of the materials.
- 8-6 The library should abide by the recommended standards for access by handicapped users.
- 8-7 Tables and/or carrels should be provided for in-library use of documents.
- 8-8 Microform readers and reader/printers for the principal types of microforms should be provided.
- 8-9 Microform storage should be located convenient to the documents area.

9. SERVICE TO THE GENERAL PUBLIC.

- 9-1 Libraries shall make depository publications available for the free use of the general public. Highest appellate court libraries of the states are exempt from the provisions of 44 U.S.C. 1911 (see 44 U.S.C. 1915).
- 9-2 In each depository library, there should be recognized focal points for inquiries about government publications. At this point it should be possible to find:
- a) resources in the collection, including specific titles
 - b) location of wanted publications in the library
 - c) answers to reference questions or a referral to a source or place where answers can be found
 - d) guidance on the use of the collection, including the principal available reference sources, catalogs, abstracts, indexes and other aids
 - e) availability of additional resources in the region
 - f) assistance in borrowing documents from a regional or other libraries
 - g) user privileges for other libraries, educational agencies, culturally deprived, disadvantaged, handicapped, retired users and the community at large.
- 9-3 The library should have the option of establishing its own circulation policies for use of depository materials outside the library.
- 9-4 The library should provide facilities for using materials within the library, including copying facilities and equipment for reading microforms.
- 9-5 The library should publicize the depository collection through displays and announcements of significant new titles.
- 9-6 The library should provide to all users reference assistance with regard to depository publications.

10. COOPERATION WITH THE GOVERNMENT PRINTING OFFICE.

- 10-1 Depository library staff should familiarize themselves with the depository instructions and abide by their conditions.
- 10-2 Claims should be submitted within stated time limits.
- 10-3 Depository library staff should use correct address when corresponding with the Government Printing Office.
- 10-4 Questionnaires and surveys submitted by the Superintendent of Documents to depository libraries should be completed and returned promptly.

11. INTERLIBRARY COOPERATION.

- 11-1 All depository libraries should be considered as part of a network of libraries consisting of selective, regional, and national.
- 11-2 Selective depositories should cooperate in building up the collections of the regional depositories.
- 11-3 Selective depositories should cooperate with the regional depositories in the redistribution of documents not needed in their own organizations.
- 11-4 All depository libraries should cooperate in reporting to the Superintendent of Documents new Federal documents not listed in the Monthly Catalog.
- 11-5 All depository libraries should cooperate in the development of tools for the identification and location of documents in other libraries.
- 11-6 Depository libraries borrowing documents from other libraries should verify bibliographic information as completely as possible.
- 11-7 All depository libraries should provide material on interlibrary loan at least for the regional depository.
- 11-8 All depository libraries should have a policy of providing photocopies of depository materials to other libraries no less liberal than for other library materials.

12. REGIONAL DEPOSITORIES.

- 12-1 Eligibility to become a regional depository library:
 - a) There may not be more than two regional depositories in one state. A regional library may serve two or more states, or regional status may be shared by more than one library.
 - b) A regional library must be an existing depository.
 - c) A regional depository should be conveniently located to serve the largest number of libraries possible.
 - d) The library selected for regional status should have an adequate retrospective collection, space, personnel and a continuing basis of financial support sufficient to fulfill the obligations of a regional depository.
 - e) The selection of a regional depository should be agreed upon by the state library authority and a majority of depository libraries within the region.
 - f) Designation of the regional must be made by one of the U. S. Senators of the state.
- 12-2 Responsibilities of regional libraries include:
 - a) receiving and maintaining permanently all depository publications in either printed or microform as provided in the depository instructions

- b) attempting to complete their retrospective collections of major serials, annuals and other research materials by means of gift, exchange or purchase, including microforms
- c) screening all lists of documents withdrawn from selective depositories to insure their future availability in the region
- d) acquiring additional copies where necessary
- e) assisting selective depositories with reference questions, interlibrary loans and photocopies
- f) granting permission to selective depositories to dispose of unwanted documents according to the Instructions to Depository Libraries (latest edition)
- g) providing guidelines to selective depositories for preparing disposal lists of unwanted documents
- h) contributing to the effectiveness of the depository network through workshops, training sessions and consultive services within their region.

12-3 The regional depository may authorize the transfer of depository material within the state between depositories to insure maximum use. Transfer of material is not to be regarded as disposal.

12-4 The initial receiving depository library remains responsible and accountable for the documents during the period required by law.

Appendix A

Budget of the United States Government
Catalog of Federal Domestic Assistance
Census Bureau Catalog
Census of Housing (for State of Depository only)
Census of Population (for State of Depository only)
Code of Federal Regulations
Congressional Directory
Congressional District Data Book
Congressional Record
County-City Data Book
Federal Register
Historical Statistics of the United States
Monthly Catalog
Numerical Lists and Schedule of Volumes
Publications Reference File
Slip Laws (Public)
Statistical Abstract
Statutes at Large
Subject Bibliographies (S.B. Series)
Supreme Court Reports
United States Code
United States Government Manual
Weekly Compilation of Presidential Documents

MINIMUM STANDARDS FOR THE
DEPOSITORY LIBRARY SYSTEM

as adopted by Depository Library Council

October 22, 1976

1. The Superintendent of Documents will be responsible for distribution of documents to depository libraries in accordance with the provisions of Title 44 of the United States Code.
2. The Superintendent of Documents will provide a comprehensive system of catalogs, bibliographies and indexes to U.S. Government publications.
3. There should be at least one depository accessible to the public in each Congressional district. The designated library shall have the interest, resources and ability to provide custody of the documents and public service. The library must contain at least 10,000 books other than government publications.
4. Each depository shall select and maintain a collection responsive to the needs of the users in the geographic area it serves and promote their use by the general public.
5. The collection in a depository library shall be organized to insure quick and easy access by library users. The library will promptly open shipments and claim publications selected but not received.
6. The collection shall be maintained in as good physical condition as the other collections in the library.
7. Each depository library will assign sufficient staff to select, organize and provide reference service to the collection.
8. Each depository will provide sufficient space of a quality which conforms to ALA standards for the type of library.
9. The depository will be open to the public for free use of depository publications.
10. Each depository library will cooperate with the instructions issued by the Superintendent of Documents, respond promptly to the Biennial Survey and to other communications from the Public Documents Office.
11. All depository libraries shall be considered part of a national system to make Government documents available.
12. All selective depositories should be served by a regional depository. The regional depository libraries will 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) and within the region served will provide interlibrary loan, reference service, and assistance for depository libraries in the disposal of unwanted Government publications.

