

# Federal Depository Library Manual

SUPPLEMENT 3

Revised



## SELF-STUDY OF A FEDERAL DEPOSITORY LIBRARY

1999

Library Programs Service  
Superintendent of Documents  
U.S. Government Printing Office  
Washington, DC 20401

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## **PREFACE**

### **Background**

At its October 1994 meeting, the Depository Library Council to the Public Printer endorsed the self-study process and initial questionnaire proposed by the Library Programs Service (LPS). This set of written questions is designed to assist documents staff as they critically review their operations. It also gives them the opportunity to assess their compliance with Title 44, United State Code (U.S.C.), chapter 19, and GPO regulations in advance of a possible on-site audit. This self-study can be a strategic assessment document which will walk the documents staff through issues such as collection development policy, compliance with the Americans with Disabilities Act (ADA), public access computer work stations, etc., which need careful consideration.

### **Purpose**

This self-study has been developed as a component of the GPO's inspection of each depository library's Federal documents operation "where need is indicated" under 44 U.S.C. Section 1909. Depositories will perform a mandatory self-evaluation that, in some cases, replaces an on-site inspection.

Citations to appropriate GPO-supplied publications which contain the rules and regulations for the Federal Depository Library Program appear at the end of the self-study document. The self-study format and questions apply to all types of depositories, with the following two exceptions:

- Weeding - Federal agency and Federal court depository libraries weed through the Library of Congress' Exchange and Gift Division under 44 U.S.C. Section 1907 rather than through a Regional library. Highest appellate court libraries also have different weeding guidelines.
- Free access to the public to use depository documents in the library is required of all depositories except those depositories designated as the library of the highest appellate court in the state under 44 U.S.C. Section 1915.

### **Procedures**

Each year, LPS will request self-studies from a group of libraries in chronological order from the date of last inspection. A copy of the self-study will be provided by the depository to LPS and to the appropriate Regional library. Federal agency and Federal court depositories will correspond directly with LPS. Inspectors will evaluate each self-study. A telephone interview with the documents librarian will take place to clarify any issues. All depositories will receive a Self-Study Evaluation report.

LPS will determine whether an on-site inspection is warranted based on the self-study, follow-up questions, consultation with the Regional library, and specific criteria including recent staff and facility changes, results of prior inspections, and, if applicable, any complaints from depository library users.

Some questions have yes-no answers, in others, choices are indicated or a narrative response is requested. Add sufficient narrative to all questions so an inspector reading the self-study will more fully understand the library's operation. Guidance for preparing the self-study can be found on the FDLP Administration home page at: <[www.access.gpo.gov/su\\_docs/dpos/selfstudy/](http://www.access.gpo.gov/su_docs/dpos/selfstudy/)>.

In preparing the library's self-study, use the template provided on GPO's World Wide Web site at <[www.access.gpo.gov/su\\_docs/dpos/selfstud.html](http://www.access.gpo.gov/su_docs/dpos/selfstud.html)>. Download the template to a word processing system, input responses below each question, print the completed self-study, and mail it to LPS.

OPTION: Any depository may conduct a self-study at any time. LPS will review the self-study and provide a report to the library explaining perceived strengths, weaknesses, corrective actions, and recommendations. Such a "desk audit" review and report is not a substitute for any future on-site inspection, but is an option open to all depositories, e.g., for a new documents librarian's orientation, planning purposes, etc.

### **Self-Study**

The self-study must be completed by depository library staff and returned to LPS and the Regional library by the due date provided in the notification letter. As noted earlier, an evaluation of this self-study may result in an on-site inspection. Note: Where appropriate the library may append various attachments such as relevant handouts, organizational charts, portions of or complete documents department or library annual reports which pertain to depository operations, etc.

The library's completed self-study must be transmitted to GPO by mail.

Mail to:

Self-Study/Compliance Review  
Chief, Depository Services  
Library Programs Service (SLLD)  
U.S. Government Printing Office  
732 North Capitol Street, NW  
Washington, DC 20401



## Self-Study Template

Library Name: \_\_\_\_\_  
Institution: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_  
Depository #: \_\_\_\_\_  
Congressional District: \_\_\_\_\_  
Director: \_\_\_\_\_  
Depository Coordinator: \_\_\_\_\_  
Coordinator's Phone Number: \_\_\_\_\_  
Coordinator's E-mail: \_\_\_\_\_  
Documents Fax: \_\_\_\_\_  
Date Submitted: \_\_\_\_\_

**Community Served by Your Depository** (can be taken from the library's written collection development policy)

Population of the City \_\_\_\_\_ County \_\_\_\_\_ SMSA \_\_\_\_\_

The area's growth can be considered: none \_\_\_\_\_ low \_\_\_\_\_ moderate \_\_\_\_\_ high \_\_\_\_\_

Major industries/influences on the local economy: \_\_\_\_\_

Types of depository patrons (If an academic depository, include types of community users):

Depository publications most frequently used (If an academic depository, separately include publications used by both community and campus users):

Library's volume count \_\_\_\_\_ (Includes Federal depository and non-depository materials, all formats and all collections and libraries under the administrative purview of your library director.)

Does the library have selective housing sites? Yes \_\_\_\_\_ No \_\_\_\_\_

If yes, how many? \_\_\_\_\_

Are Selective Housing Agreements for each in place at the depository, GPO, and the Regional library?

Yes \_\_\_\_\_ No \_\_\_\_\_

## 1. Collection Development

**In this section you will describe the policies and practices that your library uses to build a collection of U.S. Government publications in all media.**

1.1 Indicate which statement most closely describes your depository selection.

- \_\_\_\_\_ A comprehensive, retrospective research collection
- \_\_\_\_\_ A blend of current and retrospective holdings
- \_\_\_\_\_ A mostly current, 5-year collection (with a few retrospective holdings)

1.2 Which of the following "Basic Collection" titles does the library select through the depository program? Adjacent to each title, note format received and/or any commercial equivalents. Explain why any are not selected, and where the library can refer patrons for that title.

(Note: This Basic Collection has been updated. See [http://www.access.gpo.gov/su\\_docs/fdlp/coll-dev/basic-01.html](http://www.access.gpo.gov/su_docs/fdlp/coll-dev/basic-01.html) for details.)

Paper	Fiche	CD-ROM	Online	Title, Class No., Item No.
				American Factfinder, C 3.300:, 0154-B-16 (online)
				Ben's Guide to U.S. Government for Kids, GP 3.39:, 0556-C (online)
				Budget of the United States, PREX 2.8:, 0853 or 0853-C
				Catalog of Federal Domestic Assistance, PREX 2.20:, 0853-A-01
				Catalog of U.S. Government Publications, GP 3.88-9:, 0557-F (online)
				Census of Population and Housing (State and County <i>QuickFacts</i> ), C 3.223/(nos.), 0156-M-(nos.), , 0159-B-(nos.), , 0159-C-(nos.)
				Code of Federal Regulations, AE 2.106/3:, 0572-B or 0572-C
				Congressional Directory, Y 4.P93/1:1, 0992
				Congressional Record (daily), X 1.1/A:, 0994-B or 0994-C
				Constitution of the United States of America: Analysis and Interpretation, Y 1.1/3:, 1004-E-01
				County and City Data Book, C 3.134/2:C 82/2/date, 0151 or 0151-D-01
				Economic Indicators, Y 4.EC 7:EC 7, 0997
				Economic Report of the President, PR 43.9:, 0848-F

				Federal Register (daily), AE 2.106:, 0573-C or 573-D
				GPO Access, (online)
				Historical Statistics of the United States * (selected historical statistics) C 3.134/2:H 62/970, 051
				Occupational Outlook Handbook, L 2.3/4:, 0768-C-02
				Public Papers of the President, AE 2.114:, 0574-A
				Sales Product Catalog, GP 3.22/7:, 0552-B-01 (online)
				Slip Laws (Public), AE 2.110:, 0575
				Social Security Handbook, SSA 1.8/3:, 0516-C-01
				STAT-USA (ask librarian for password), C 1.91:, 0128-P (online)
				Statistical Abstract of the United States**, C 3.134:, 0150 or 0150-B
				Statutes at Large, AE 2.111:, 0576
				Subject Bibliographies, GP 3.22/2:, 0552-A (online)
				United States Code, Y 1.2/5:, 0991-A or 0991-B
				United States Government Manual, AE 2.108/2:, 0577
				United States Reports, JU 6.8:, 0741
				USA Counties**, C 3.134/6:, 0150-B-01 (cd-rom)
				Weekly Compilation of Presidential Documents, AE 2.109:, 0577-A (online)

\*Title may not be available at all depository libraries as it was distributed in 1976. It can be purchased through the GPO Online Bookstore.

\*\*Copyright restrictions prevent the inclusion of some tables in the electronic versions

1.3 If you do not serve the public as your primary patron, aside from "Basic Collection," what are some of your selections specifically for Congressional District information needs or general public use? (Provide examples)

1.4 Indicate which of the following the library uses:

- GPO's Web site
- GPO Access
- Federal Bulletin Board
- Pathway Services
- FDLP Administration page
- FDLP Electronic Collection
- Documents Data Miner

1.5 What FDLP databases and/or publications do you find most useful (Administrative Notes, WEBTech Notes, etc. - be specific)?

1.6 List most frequently used CD-ROMs selected by your library:

- a. Which are networked?
- b. For which is there access beyond the library?
- c. If no CD-ROMs selected, why?

1.7 Does the library subscribe to any Government online services available through the FDLP?  
Yes  No

- a. Which ones? (STAT-USA, Environmental Health Perspectives, O\*NET, etc.)

1.8 Indicate which maps your library selects using the following list. Note geographic coverage (county, city, state, etc.) as necessary.

- USGS
- NIMA
- NOAA
- Forest Service
- CIA
- Others

1.9 Does the library have a written depository collection development policy or a government documents component of a general collection development policy?  
Yes  No

- a. If so, attach a copy of the policy, or relevant portions of a library-wide policy, to this self-study.

- 1) When was it written?
- 2) When was it last reviewed?

b. Have you incorporated “FDLP Guidelines on Substituting Electronic for Tangible Versions of Depository Publications” into your written collection development policy?  
 Yes \_\_\_\_\_ No \_\_\_\_\_

1.10 Describe any collection development coordination and depository resource sharing efforts that the library attempts with other area depositories in order to eliminate unnecessary item duplication and insure adequate coverage of the area.

1.11 When did the library last conduct a review of items selected? Describe the process. Do you use a zero-based item number selection review? (A *zero-based review* means "evaluating item numbers on a one-by-one basis [which] should result in adding or deleting items from the selection profile." p. 10, "Collection Development Guidelines")

1.12 Does the library have suitable index tools to effectively access the resources in the documents collection? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If no, what other search tool(s) would you like added to the library?

1.13 Below is a selected listing of government-issued and commercial indices and services. Not all of these tools are appropriate for all types of depositories. Check off the information products and services the library owns. If on-line access is restricted for some indices, note that fact. Add any relevant titles which the library owns or has access to on-line.

Paper	Electronic	
		ASI (American Statistics Index)
		ASI on Statistical Universe
		Ames, John G. Comprehensive Index to the Publications of the U.S. Government, 1881-1893
		Andriot, John. Guide to U.S. Government Publications
		CCH Congressional Index
		CIJE (Current Index to Journals in Education)
		CIS Index to Presidential Executive Orders and Proclamations
		CIS Index to U.S. Senate Executive Documents and Reports
		CIS U.S. Government Periodicals Index
		CIS Index to the Code of Federal Regulations
		CIS Federal Register Index
		CIS American Foreign Policy Index
		CIS Index to Publications of the United States Congress
		CIS Congressional Masterfile CD-ROM
		CIS Congressional Universe
		CIS U.S. Serial Set Index

Paper	Electronic	
		CIS U.S. Congressional Committee Hearings Index
		CIS U.S. Congressional Committee Prints Index
		CQ Weekly
		Checklist of United States Public Documents, 1789-1909
		Cumulative Subject Index to the Monthly Catalog of U.S. Government Publications, 1900-1971
		Declassified Documents Index
		Dialog
		Documents Catalog, 1893-1940
		EPA Reports Bibliography
		ERIC CD-ROM
		Index Medicus
		Lexis
		Monthly Catalog CD-ROM (What brand?)
		Monthly Catalog, loaded in on-line system, available from OPAC (What brand?)
		NLM MEDLINE
		NTIS Government Reports Announcements and Index
		OCLC
		OCLC FirstSearch
		PAIS
		PAIS CD-ROM
		Poore, Benjamin P. A Descriptive Catalog of the Government Publications of the United States, September 5, 1774-March 4, 1881
		RIE (Resources In Education)
		Westlaw
		Wilsonline
		Uncover
		U.S. Code Congressional and Administrative News

a. Other indexes accessible via OPAC:

b. Microform collections purchased:

1.14 Who makes item selection decisions for the depository collection?

1.15 Who makes selection decisions for support materials such as indexes?

## 2. Bibliographic Control

**In this section you will describe how the library processes depository materials and maintains a holdings record to the piece level.**

2.1 Describe how the library records depository receipts to the required piece-level. Include all tangible information products.

- a. monographs
  - 1) paper
  - 2) microfiche
  - 3) CDs, floppies
  - 4) vertical file and ephemera
  
- b. serials
  - 1) paper
  - 2) microfiche
  - 3) direct mail items
  - 4) CDs, floppies
  - 5) vertical file and ephemera
  
- c. maps
  - 1) CIA
  - 2) USGS topographic
  - 3) other maps (folded map series, NIMA, etc.)

2.2 Is there a significant difference in recording various formats to the piece level?

Yes \_\_\_\_\_ No \_\_\_\_\_

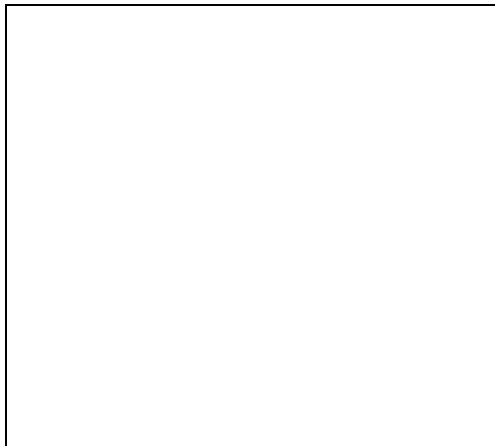
- a. If yes, describe.

2.3 Your shelf list for the depository collection is:

- \_\_\_\_\_ card-based
- \_\_\_\_\_ part of an integrated library system
- \_\_\_\_\_ PC-based
- \_\_\_\_\_ other (explain)

2.4 Note any exception to the full check-in record, such as retrospective gaps or materials not usually checked in to the piece level. Note the reasons why the library does not fully record that material. Is record keeping for any material done another way?

- 2.5 Does the check-in record show library holdings, classification numbers, frequency, location of documents, retention, etc.? Yes \_\_\_\_\_ No \_\_\_\_\_
- a. If no, what information is not on this record?
- 2.6 Describe the techniques used to properly identify and date mark all depository materials as required (i.e., stamps, writing on the documents, etc.).
- a. microfiche envelopes  
b. direct mail items  
c. maps  
d. CD-ROM jewel cases  
e. floppy disks  
f. paper monographs and serials, bound and unbound
- 2.7 List any titles or media that are not marked or stamped.
- 2.8 Place an example of depository ownership/date stamp in the box. Note the date's significance also, such as date of receipt, processing, shipping list, other.



- 2.9 Are there processing backlogs? Yes \_\_\_\_\_ No \_\_\_\_\_
- a. If so, are these items organized so they can be retrieved quickly for use?  
Yes \_\_\_\_\_ No \_\_\_\_\_
- b. Estimate the processing time for each identified backlog:
- 1) unopened boxes  
2) items put in the public catalog  
3) items not entered into the public catalog  
4) continuations ("add ons")



- 5) periodicals
- 6) microfiche
- 7) maps
- 8) electronic products

2.10 Is shelving or filing of depository materials completed within 10 days of the date of their receipt in the library (except for items being cataloged)? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If no, how long does it typically take?

2.11 Are at least some documents cataloged and accessible via the library's catalog?

Yes \_\_\_\_\_ No \_\_\_\_\_

a. Percentage of documents currently cataloged: \_\_\_\_\_

b. Documents have been cataloged since \_\_\_\_\_

c. Are you acquiring and cataloging e-documents? Yes \_\_\_\_\_ No \_\_\_\_\_

d. Documents have been retrospectively cataloged: Yes \_\_\_\_\_ No \_\_\_\_\_

e. Plan to catalog retrospective holdings: Yes \_\_\_\_\_ No \_\_\_\_\_

f. Type catalog system used:

- \_\_\_\_\_ Card
- \_\_\_\_\_ Online text-based \_\_\_\_\_ Web-based \_\_\_\_\_
- \_\_\_\_\_ CD-ROM
- \_\_\_\_\_ Microfiche

g. Brand of online catalog:

2.12 Does the library subscribe to commercial vendor processing services?

Yes \_\_\_\_\_ No \_\_\_\_\_

a. If yes, what services are received, when started, from what vendor, and what is their frequency?

b. If the library receives catalog record loads, are the records checked against depository receipts? Yes \_\_\_\_\_ No \_\_\_\_\_

2.13 Is the processing of depository receipts integrated into the processing unit for other library materials? Yes \_\_\_\_\_ No \_\_\_\_\_

2.14 To note any missing shipping lists, the library:

- keeps shipping lists in order
- keeps a shipping list log
- keeps shipping lists for (length of time)

2.15 How are missing shipping lists usually obtained?

- nearby depository
- Regional library
- U.S. Fax Watch
- contacting LPS
- Federal Bulletin Board
- not obtained

2.16 Are shipping lists checked against shipments, ensuring that all selected items in that shipment have been received? Yes  No

2.17 Are claims regularly made within the 60-day claim limit? Yes  No

- a. If no, why not?
- b. Note methods used for claiming to GPO:
  - Fax
  - Mail
- c. What percentage of claims are filled?

2.18 Are all SuDocs classification number corrections made routinely and expeditiously?

Yes  No  N/A

- a. If no, why not?

2.19 How is the item selection/deselection history maintained?

- Item Cards
- Item Lister
- Database File

- a. What database file program is used?

2.20 How does the library verify item selections?

- \_\_\_\_\_ Item Cards
- \_\_\_\_\_ Item Lister
- \_\_\_\_\_ Other
- \_\_\_\_\_ Not verified

2.21 Is there a written procedures manual or other appropriate documentation?

Yes \_\_\_\_\_ No \_\_\_\_\_

a. If yes, when was it last reviewed or revised?

### 3. Maintenance

**In this section you will describe the policies and practices that your library observes to maintain the depository materials and facilitate physical access for public use.**

3.1 Does a written binding policy for documents:

\_\_\_\_\_ exist and is equal to (or better than) the general library binding policy? Describe.

\_\_\_\_\_ exist but is inferior to library binding policy? Describe.

\_\_\_\_\_ exist but is a decision not to bind?

\_\_\_\_\_ not exist?

\_\_\_\_\_ exist but not adhered to? Describe non-adherence.

3.2 Does a written replacement policy for lost or damaged documents:

\_\_\_\_\_ exist, and is equal to (or better than) the library's replacement policy?

\_\_\_\_\_ exist, but is inferior to the library's replacement policy?

\_\_\_\_\_ exist, but it is a decision not to replace?

\_\_\_\_\_ not exist?

\_\_\_\_\_ exist but not adhered to? Describe non-adherence.

3.3 Explain any strategies used to acquire replacement copies of depository documents, e.g., purchase from GPO, contacting agencies, "Needs & Offers" lists, etc.

3.4 Are depository discards done in conformance with the Instructions to Depository Libraries, the law, and Regional library instructions or submitted to the Library of Congress Exchange and Gift Division? Yes \_\_\_\_\_ No \_\_\_\_\_

a. Note the response time for Regional approval.

3.5 The Regional library service for discarding is:

\_\_\_\_\_ used regularly. Note frequency \_\_\_\_\_

\_\_\_\_\_ not used because of lack of staff or time.

\_\_\_\_\_ not used because library strives for completeness.

\_\_\_\_\_ not applicable.

a. If not used, why not?  
 3.6 Are superseded publications withdrawn according to the Superseded List and "Updates to the Superseded List?" Yes \_\_\_\_\_ No \_\_\_\_\_

a. Are there retention notes on the check-in record that allow for their efficient removal?  
 Yes \_\_\_\_\_ No \_\_\_\_\_

b. If retained, are they identified on the spine or cover as superseded?

- \_\_\_\_\_ yes
- \_\_\_\_\_ no, but kept for reference/Regional use
- \_\_\_\_\_ occasionally
- \_\_\_\_\_ not at present

1) If not, why not?

3.7 Is the depository collection protected from unlawful removal of publications:

\_\_\_\_\_ as well as (or better than) the rest of the library's collection? State method, e.g., closed stacks, security guard, commercial book detection system, etc.

\_\_\_\_\_ less well than the rest of the library's collection?

3.8 Does the library consistently remove all packing materials from depository receipts, i.e.:

- \_\_\_\_\_ plastic wrap from paper items?
- \_\_\_\_\_ rubber bands from microfiche?
- \_\_\_\_\_ mailing tubes from maps?

3.9 Does the library routinely update and interfile changes to its loose-leaf depository selections so the material is immediately available for patron use? Yes \_\_\_\_\_ No \_\_\_\_\_

a. What resources are allotted to this task?

3.10 Which of the following methods are used to effectively maintain shelves, and to what extent:

	None	Minimal	Moderate	Extensive
Labeled pamphlet boxes				
Notebooks				
String-tied binding				
Vertical file cabinets				
Slotted shelves				

3.11 Are appropriate storage facilities in the library used to preserve depository holdings?

Microfiche metal cabinets	Yes _____	No _____	
- other - covered acid free	Yes _____	No _____	
Maps - metal cabinets	Yes _____	No _____	N/A _____
- other - covered acid free	Yes _____	No _____	
Map encapsulation	Yes _____	No _____	N/A _____
Archive/"Phase" boxes	Yes _____	No _____	
CD-ROM metal storage cabinets	Yes _____	No _____	
- other - covered acid free	Yes _____	No _____	
Shelves braced if appropriate	Yes _____	No _____	
Compact shelving	Yes _____	No _____	

3.12 Indicate the classification system(s) used for all depository collections in your library and estimate percentages of documents classified in each classification system:

SuDocs	_____%
Library of Congress	_____%
Dewey	_____%
Other	_____%

3.13 What materials, e.g., microfiche, periodicals, reference, etc., are integrated into non-SuDocs classifications?

3.14 Are some documents sent to another location, e.g., off site storage, reference, branch libraries, etc.? Yes \_\_\_\_\_ No \_\_\_\_\_

- a. If yes, where are they housed?
- b. How quickly can they be retrieved?

3.15 Are shelf maintenance policies established and actively followed?

Yes \_\_\_\_\_ No \_\_\_\_\_

- a. inventory
  - 1) Who provides?
  - 2) How often?
- b. shelf readings
  - 1) Who provides?
  - 2) How often?
- c. If no, why not?

3.16 Are documents included in the library's major preservation and restoration activities (e.g., binding, encapsulating, materials moved to climate controlled areas)?

Yes \_\_\_\_\_ No \_\_\_\_\_

3.17 Note any major preservation problems (e.g., excessive dust, mold, etc.) and efforts at preserving materials (e.g., spraying for insects, oiling bindings, etc.).

3.18 Does the library have a response plan for disasters? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If yes, is the depository collection included in the plan? Yes \_\_\_\_\_ No \_\_\_\_\_

b. If yes, is it reviewed regularly? Yes \_\_\_\_\_ No \_\_\_\_\_

#### 4. Human Resources

**In this section describe staffing levels and responsibilities for the depository collection.**

4.1 Has a person been designated to coordinate depository activities? Yes \_\_\_\_\_ No \_\_\_\_\_

a. Is this position currently filled? Yes \_\_\_\_\_ No \_\_\_\_\_

b. If no, why not?

c. Documents librarian has been in position since \_\_\_\_\_

d. Documents coordinator's education:

e. To whom does this person report?

f. Hours on reference desk per week:

g. Hours spent on depository responsibilities:

h. Does the coordinator also have responsibilities in areas other than Federal Documents?

Yes \_\_\_\_\_ No \_\_\_\_\_

i. If so, what are the duties and how many hours weekly are devoted to these duties?

4.2 Is there a Documents assistant(s)? Yes \_\_\_\_\_ No \_\_\_\_\_

a. Is this position currently filled? Yes \_\_\_\_\_ No \_\_\_\_\_

b. Assistant(s) hours a week on depository duties:

c. Has been in this position since \_\_\_\_\_

d. Hours on reference desk or devoted to other responsibilities per week:

e. Other responsibilities:

4.3 Number of FTE staff devoted to depository operations based on a 40-hour work week:

Librarians \_\_\_\_\_ Support staff \_\_\_\_\_ Other (students, volunteers, etc.) \_\_\_\_\_

4.4 Is the depository operation an independently administered unit? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If "No," with which area(s) is documents associated?

- \_\_\_\_\_ Acquisitions
- \_\_\_\_\_ Administration
- \_\_\_\_\_ Cataloging
- \_\_\_\_\_ Reference
- \_\_\_\_\_ Special Collections
- \_\_\_\_\_ Subject Collection (e.g., social sciences)
- \_\_\_\_\_ Other (specify)

4.5 Is there sufficient staff to address basic depository responsibilities?

Yes \_\_\_\_\_ No \_\_\_\_\_

a. If not, what duties are not being performed and how would a desired increase in staffing aid the depository operation?

4.6 Has depository and/or library staff been cross-trained so that any staff member, if necessary, can do depository technical processing, etc.? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If yes, describe:

4.7 Describe on-going efforts to inform public service staff about depository publications, electronic media or related issues affecting service to the depository collection.

4.8 How does the library administration support professional or para-professional staff training, workshops or depository-related meetings?

4.9 Do depository staff members regularly participate in the following activities:

Local depository group (name)	Yes _____	No _____	When?
State GODORT	Yes _____	No _____	When?
ALA GODORT	Yes _____	No _____	When?
GPO Interagency Seminar	Yes _____	No _____	When?
GPO Federal Depository Conference	Yes _____	No _____	When?
AALL (American Association of Law Libraries)	Yes _____	No _____	When?
Other:			

4.10 Noteworthy accomplishments of the documents staff (e.g., conference speaker, committee chair, publications):





## 5. Physical Facilities

**In this section describe the library building and its equipment associated with the U.S. depository collection.**

5.1 Indicate which of the following are used in the library:

- \_\_\_\_\_ open stacks
- \_\_\_\_\_ closed stacks
- \_\_\_\_\_ compact shelving
- \_\_\_\_\_ vertical file cabinets
- \_\_\_\_\_ on-site or off-site storage

5.2 Does the library have sufficient shelf, file, and cabinet space to properly house existing depository documents holdings? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If not, explain.

5.3 Assuming continuation of present growth rates, give your best estimate of the depository's growth space, for the following formats (in years):

- paper \_\_\_\_\_
- microfiche \_\_\_\_\_
- maps \_\_\_\_\_
- CD-ROM \_\_\_\_\_

5.4 Does the library meet the requirements for "Public Access to Electronic Information Provided Through Federal Depository Libraries" as announced in Administrative Notes, v. 17, #7, May 15, 1996? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If not, why not?

5.5 Using the following list as a guide, describe the computer equipment available to access the FDLP electronic collection:

- a. Staff personal computers (note general type, number of computers, printers, i.e., 486, Pentium, etc.).
- b. Does the public have unmediated access to the Internet and CDs?  
Yes \_\_\_\_\_ No \_\_\_\_\_

- c. Specify equipment dedicated for depository CD-ROMs and on-line services and describe work station configurations. Specify RAM capacity, clock speed, microchip class and type of printer.
- d. Have you used FDLP “Recommended Specifications for Public Access Work Stations in Federal Depository Libraries?” Yes \_\_\_\_\_ No \_\_\_\_\_
- e. List other equipment that supports the depository collection, such as microfiche readers and reader/printers, photocopiers, fax.

5.6 Does the library have a strategic plan for acquiring computer equipment?

Yes \_\_\_\_\_ No \_\_\_\_\_

- a. If yes, explain.
- b. If yes, will acquired equipment meet the latest recommended specifications for public access work stations? Yes \_\_\_\_\_ No \_\_\_\_\_

5.7 Are there stable funding sources for:

- a. computer upgrades? Yes \_\_\_\_\_ No \_\_\_\_\_
- b. printers? Yes \_\_\_\_\_ No \_\_\_\_\_

5.8 What software is available on public access work stations?

\_\_\_\_\_ browser (What brand?)  
\_\_\_\_\_ word processor  
\_\_\_\_\_ Adobe Acrobat reader  
\_\_\_\_\_ fire wall

5.9 All institutions are required by law to work towards full ADA compliance. Is there handicapped access to all portions of depository collections that are in public areas, including:

\_\_\_\_\_ ramp(s) or flat entrances into the library?  
\_\_\_\_\_ elevators to all floors housing depository collections?  
\_\_\_\_\_ stack-aisle widths in public areas at least 36" wide?  
\_\_\_\_\_ computer workstations and carrels?  
\_\_\_\_\_ equipment with assistive technologies for the physically challenged? (describe).

5.10 Is there sufficient work space for depository library staff in a non-public area?

Yes \_\_\_\_\_ No \_\_\_\_\_

5.11 Is patron work space for using the depository collection usually available?

Yes \_\_\_\_\_ No \_\_\_\_\_

- a. Indicate any times when patron work space is not available near depository collections.
- 5.12 Are depository operations situated in an environment that facilitates access to and usage of depository resources, in that it is well lighted, climate controlled, ventilated, neat, and clean? Yes \_\_\_\_\_ No \_\_\_\_\_
- 5.13 List any new physical facilities affecting depository operations since the last on-site inspection, including those under construction, or planned for construction. For future projects, note estimated start and completion dates. Describe how these new facilities have affected or will affect depository operations. Types of new facilities could include, but are not limited to:
- new library
  - new addition
  - remodeling
  - compact shelving
  - off-site storage
  - computer lab
  - selective housing site
- 5.14 Indicate which safety mechanisms are permanently installed and fully functioning to protect the depository collection:
- \_\_\_\_\_ smoke detectors
  - \_\_\_\_\_ heat detectors
  - \_\_\_\_\_ overhead sprinklers
- 5.15 Describe all types and locations of signs, e.g., library-produced and GPO posters, signs, displays, floor directories, etc., that highlight and direct patrons to depository collections.
- 5.16 Can a patron unfamiliar with the library easily locate the documents area or documents help desk?

## 6. Public Service

**In this section describe how the library delivers Government information to users.**

6.1 Is free and unrestricted access to all depository resources provided to the general public? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If not, explain

6.2 Explain any restrictions on access to the depository collection, e.g.:

Nights  
Weekends  
Exam periods  
Building  
ID required  
Age

6.3 How many hours per week is the library open?

6.4 How many hours per week is the library's central reference desk staffed?

6.5 If there is a separate service desk for documents, how many hours per week is it staffed?

6.6 Does your library have a written access policy for the depository collection?  
Yes \_\_\_\_\_ No \_\_\_\_\_

a. If so, attach a copy. Is it consistent with current practices?

6.7 Does the library have a written policy for Internet use that is consistent with GPO guidelines in Administrative Notes, January 15, 1999? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If so, attach a copy.  
b. If not, why not?

6.8 Are written public service guidelines for Government information in electronic formats in place following those published in Administrative Notes, September 15, 1998?  
Yes \_\_\_\_\_ No \_\_\_\_\_

a. If so, attach a copy.  
b. If not, why not?

6.9 Does the library have any policies and, especially, does it post any signs that may have a "chilling effect" or could be misunderstood by anyone not familiar with the library?

Yes \_\_\_\_\_ No \_\_\_\_\_

a. If so, describe.

6.10 Is the depository emblem posted on or near all entrance doors of the library and selective housing site(s), if applicable? Yes \_\_\_\_\_ No \_\_\_\_\_

a. If not, explain.

6.11 Does the library offer comparable reference and other services to the "general public" as well as to its primary users (faculty, students, etc.)? Yes \_\_\_\_\_ No \_\_\_\_\_

a. Note any discrepancies, i.e., "priority" services for its own college students, lawyers, etc.

6.12 Describe how the library provides reference services for documents:

- \_\_\_\_\_ A separate reference desk for documents
- \_\_\_\_\_ A combined desk for general reference and documents reference
- \_\_\_\_\_ Multiple subject department reference desk including documents
- \_\_\_\_\_ Other

6.13 Describe levels of expertise of those providing reference service with the depository collection.

6.14 Describe any depository cataloging efforts to enhance access.

- a. Are Federal Government Internet sites included in the library's on-line catalog?
- b. If there is an on-line catalog is it networked with other libraries?
- c. Note any other libraries on the network that are depositories.
- d. Does the library's on-line catalog have dial-in or Internet access?
- e. Is the catalog a shared database with other libraries?

6.15 Circulation of documents is not required. However, for information purposes, indicate which documents may or may not circulate. Explain how a public patron can borrow documents from the library.

Circulate to:	Primary Clientele		Public	
	Yes	No	Yes	No
Paper				
Microfiche				
CDs				

Maps				
------	--	--	--	--

6.16 What is the level of staff knowledge of area depositories to make informed referrals?

- a. To what other depositories and for what types of depository materials do staff most often refer users?
- b. What union lists, directories, or area networks are used to make referrals?

6.17 Describe the library's promotional activities for the depository collection and services.

6.18 Does the library have a Web home page? Yes \_\_\_\_\_ No \_\_\_\_\_

- a. If so, provide the URL:
- b. Does it provide links to GPO Access? Yes \_\_\_\_\_ No \_\_\_\_\_
- c. To the FDLP Electronic Collection? Yes \_\_\_\_\_ No \_\_\_\_\_

## 7. Cooperative Efforts

**In this section describe how the library works with GPO and other depository libraries to ensure the effective functioning of the Federal Depository Library Program.**

7.1 How does the depository staff stay knowledgeable of GPO's current guides and manuals?

7.2 Administrative Notes is routed to:

7.3 Technical Supplement is routed to:

7.4 Describe the library's cooperative efforts with other depositories and GPO on the local, state, and national level.

7.5 Describe cooperation with the Regional library.

7.6 Note any depository-specific projects, such as state plans, union lists etc.

7.7 Is there a local documents group (give group names, acronyms, frequency of meetings, name of newsletter, if any).

7.8 Does the library borrow documents from other libraries for library users?

Yes \_\_\_\_\_ No \_\_\_\_\_

- a. Is this service available to all user groups? Yes \_\_\_\_\_ No \_\_\_\_\_



- 7.9 Does the library lend depository documents if requested, either originals or photocopies, on interlibrary loan? Yes \_\_\_\_\_ No \_\_\_\_\_
- a. Note any exceptions
- 7.10 Note any cooperation through electronic discussion lists (e.g., state discussion groups, GOVDOC-L, MAPS-L, LAW-LIB, FEDREF-L, REGIONAL-L, DOCTECH-L, etc.).
- 7.11 Has this depository assisted or volunteered to help GPO with special projects recently?  
Yes \_\_\_\_\_ No \_\_\_\_\_
- a. If yes, describe:
- 7.12 Is the depository partnering with a Federal agency and GPO to produce permanent public access to electronic Government information? Yes \_\_\_\_\_ No \_\_\_\_\_
- b. If yes, describe:
- 7.13 Do depository staff assist members of the general public in borrowing documents from a Regional or another library by:
- a. Doing ILL transactions for general public patrons?  
Yes \_\_\_\_\_ No \_\_\_\_\_
  - b. Giving citation, referring to public library to complete ILL?  
Yes \_\_\_\_\_ No \_\_\_\_\_
- 7.14 Describe how you most often communicate with other depository librarians (e.g., meetings, GOVDOC-L, state electronic discussion group, phone):
- 7.15 If a problem/question arises with depository operations or depository receipts, who is consulted and by what means (e.g., askLPS, Regional librarian, GPO, GOVDOC-L, state electronic discussion group)?
- a. What problems have been addressed?
  - b. How often are outside resources used?  
  
\_\_\_\_\_ frequently  
\_\_\_\_\_ occasionally  
\_\_\_\_\_ never

## **8. Regional Services**

**If you are a Regional library or a partner in a shared Regional system, fill out this section.**

- 8.1 Explain the Regional's practices on processing weeding lists for its selective depositories. Attach the written guidance given to selectives on weeding, and the frequency of written updates or reminders to selectives about that policy. How frequently are procedures revised? Note normal turn-around times for processing weeding lists from selectives.
- 8.2 Describe steps taken to implement "FDLP Guidelines on Substituting Electronic for Tangible Versions of Depository Publications." Describe any format substitutions adopted.
- 8.3 Does the Regional library provide original documents, photocopies, fiche-to-fiche copies on interlibrary loan to libraries in the state or relevant region? Indicate any special materials excepted.
- 8.4 Describe any consultation services the Regional provides to selective depository libraries under its purview.
- 8.5 Note any special or routine reference or other service the Regional provides to libraries in the state or relevant region.
- 8.6 Describe any special or routine visits Regional library staff make to selective depositories under its purview.
- 8.7 Note any specific assistance offered to depositories with special problems or to depositories placed on probationary status.
- 8.8 Does the Regional librarian or other staff usually accompany GPO inspectors on some or all of the inspections in their state? Yes \_\_\_\_\_ No \_\_\_\_\_
- a. If no, explain why not.
- 8.9 Does the Regional library maintain files on all depositories under its purview, including such items as GPO Inspection Reports, Self-Study Evaluations and disposal lists?  
Yes \_\_\_\_\_ No \_\_\_\_\_
- 8.10 Does the Regional library have a microfiche-to-fiche duplicator that can aid selective depositories in interlibrary loan, filling in gaps in microfiche collections, etc.?  
Yes \_\_\_\_\_ No \_\_\_\_\_
- 8.11 Will the Regional duplicate diskettes? Yes \_\_\_\_\_ No \_\_\_\_\_

- 8.12 Does the Regional have the capability to duplicate CD-ROMs? Yes \_\_\_\_\_ No \_\_\_\_\_
- 8.13 Besides using weeding lists, what other ways does the Regional use to build a comprehensive Regional collection for its state or region?
- 8.14 Describe how the Regional library takes a leadership role in state-wide Federal depository issues, projects, e.g., new or revised State Plan, union lists, etc.
- 8.15 Is the Regional library involved with any efforts to provide or ensure permanent access to electronic Government information? Yes \_\_\_\_\_ No \_\_\_\_\_

### Summary

1. Discuss near-term and long-range goals of the depository operation.
  - a. Discuss accomplishments the depository has made since its last inspection.
  - b. Discuss how current and projected library budgets may affect the depository operation.
  - c. Indicate projects the library is engaged in or plans which will affect the depository operation.
  - d. Note any subjective comments about the general direction and progression of the library's depository operation.
2. Add any comments or information that has not been addressed.
3. Attach appropriate items that will be beneficial to the library inspector evaluating your depository operation.
4. Do you wish an on-site inspection regardless of the evaluation of the self-study?  
Yes \_\_\_\_\_ No \_\_\_\_\_
5. I certify that, to the best of my knowledge, the information provided in this self-study is accurate as of this date.

Signatures of:

Depository Coordinator:

Date:

Library Director:

Date:



## Alternate Location/Selective Housing Site Mini Self-Study

Complete this mini self-study for every location (other library, office, geology or geography department map collection, etc.) that houses a portion of the depository collection (maps, DOE and NASA microfiche, USGS and NIMA maps, etc.) which does not fall under the administrative purview of the library director. Alternate locations and selective housing sites may be visited during an inspection.

Name:

Location:

Library Hours ("Normal" and Summer; Monday-Thursday, Friday, Saturday, and Sunday)

Library:

General Reference:

Documents Reference:

Is this alternate location or selective housing site under the direct control of the depository library's director? Yes \_\_\_\_\_ No \_\_\_\_\_

If the answer is no, has the library established the required Memorandum of Agreement(s) and forwarded signed copies to GPO and the Regional library?

### 1. Collection Development

What types of depository materials are housed at the alternate location or selective housing site? Is the selective housing site given the opportunity to modify item selections during the annual selection update cycle?

### 2. Bibliographic Control

Are all depository materials recorded to the piece level and date/depository marked as required? Who creates and maintains this record? Are there any significant chronic processing backlogs? Is there a written procedures manual for use by all sites or appropriate documentation available at each?

### 3. Maintenance

Are depository materials maintained in a suitable environment? Is climate control adequate? Are covered acid-free storage containers used for all maps, CD-ROMS, and microfiche? Do staff follow GPO's and the Regional's weeding regulations when they dispose of depository materials through the depository of record?

#### **4. Staffing**

Describe depository staffing. Is it sufficient for basic depository work? Is staff at these sites encouraged to attend continuing education programs or depository related meetings?

#### **5. Physical Facilities**

Is shelf, cabinet, and storage space adequate for current depository collections? Estimate any growth space. Note adequacy of handicapped access to depository collections in public areas. Does computer equipment meet minimal technical requirements?

#### **6. Public Services**

Is everyone afforded free access to depository collections? Are any "chilling effect" policies or signs in place that may inhibit depository access by the public? Is a depository emblem placed at the entrance door? Are access tools or cataloging adequate to locate depository materials?

#### **7. Cooperative Efforts**

Describe any cooperative efforts the selective housing site engages in. Are staff conversant with GPO regulations, i.e., Instructions to Depository Libraries, Superseded List, Administrative Notes, and the Federal Depository Library Manual and its Supplements? Do staff have copies of current editions of these publications? How often do staff from these sites meet with or communicate with the sponsoring depository?

### **Citations to Documents**

1. Collection Development
  - Instructions to Depository Libraries, Chapter 2
  - Federal Depository Library Manual, Chapters 2-4, and Appendix A & B
  - Federal Depository Library Manual Supplement
  - Federal Depository Library Manual Supplement 2, Section 3
  - Administrative Notes, v. 20, #9, May 15, 1999, pp. 2-6
  
2. Bibliographic Control
  - Instructions to Depository Libraries, Chapter 3
  - Administrative Notes, v. 16, #17, Dec. 15, 1995, pp. 15-16
  - Administrative Notes Technical Supplement
  - Federal Depository Library Manual, Chapter 5
  - Federal Depository Library Manual Supplement 2, Section 4



3. Maintenance
  - Title 44, U.S.C. Sections 1907, 1909, 1911-1912, and 1915
  - Instructions to Depository Libraries, Chapter 4
  - Administrative Notes Technical Supplement
  - Federal Depository Library Manual, Chapter 6
  - Federal Depository Library Manual Supplement, Section 9
  - Federal Depository Library Manual Supplement 2, Section 5
  - Superseded List
  
4. Human Resources
  - Federal Depository Library Manual Supplement 2, Section 6
  - Instructions to Depository Libraries, Chapter 5
  
5. Physical Facilities
  - Title 44, U.S.C. Section 1909
  - Instructions to Depository Libraries, Chapter 6
  - Administrative Notes, v. 17, #7, May 15, 1996, pp. 5-8 and v. 17, #8, June 15, 1996, pp. 14-15, and annual revisions
  - Federal Depository Library Manual, Chapter 6
  - Federal Depository Library Manual Supplement 2, Section 7
  
6. Public Service
  - Title 44, U.S.C. Sections 1909, 1911, 1916
  - Instructions to Depository Libraries, Chapter 7
  - Federal Depository Library Manual, Chapter 7
  - Federal Depository Library Manual Supplement, Section 10
  - Federal Depository Library Manual Supplement 2, Section 8
  - Administrative Notes, v. 20, #2, January 15, 1999, pp. 1-2 and v. 19 #11, Sept. 15, 1998, pp. 5-6
  
7. Cooperative Efforts
  - Instructions to Depository Libraries, Chapter 8
  - Federal Depository Library Manual Supplement, Section 7
  - Federal Depository Library Manual Supplement 2, Section 9
  
8. Regional Services
  - Title 44 U.S.C. Sections 1911-1912
  - Instructions to Depository Libraries, Chapter 9
  - Federal Depository Library Manual Supplement 2, Section 10
  - Administrative Notes, v. 20, #9, May 15, 1999, pp. 2-6