

North Carolina State Publications Clearinghouse

Providing Access to State Government Publications

Handbook for Depository Libraries

Address correspondence concerning the **Depository System** as follows:

North Carolina State Publications Clearinghouse

State Library of North Carolina
4640 Mail Service Center
Raleigh, NC 27699-4600

Telephone: 919-807-7445 / Denise Jones

Fax: 919-733-1843

Email: denise.jones@ncdcr.gov

Website: <http://statelibrary.ncdcr.gov/govdocs/clearinghouse.html>

Address all correspondence concerning **reference information about state government** publications as follows:

Information Services Branch

Government & Heritage Library
State Library of North Carolina
Department of Natural and Cultural Resources
4640 Mail Service Center
Raleigh, NC 27699-4600
Telephone: 919-807-7450
Fax: 919-733-5679

Address all interlibrary loan correspondence according to standard loan procedures.

Updated 9/2015

Contents

Section I: North Carolina State Documents Depository System	3
Section II: Guidelines for Depository Libraries	5
Section III: Standards for Depository Libraries	6
Appendix A: Document Processing Manual	8
Appendix B: G.S. 125-11	12

Questions and suggestions concerning the *Handbook* and the Depository System are welcome. Please address them to Denise Jones, Clearinghouse Liaison, (denise.jones@ncdcr.gov or 919-807-7445) North Carolina State Publications Clearinghouse, Content Management and Access Branch, Government & Heritage Library, State Library of North Carolina, 4640 Mail Service Center, Raleigh, NC 27699-4600.

Section I: North Carolina State Documents Depository System

Purpose of the Depository Library Program

The North Carolina State Publications Clearinghouse, created by G.S. 125-11, became effective on October 1, 1987. The depository library program established for the first time in North Carolina an orderly system for the distribution of publications of the state agencies through the North Carolina State Publications Clearinghouse to designated depository libraries. The System, combined with the services of the State Library and those of the Depository Libraries, enhances access to valuable current and historical publications of North Carolina state government.

Services Provided by the State Library

In the law the State Library is designated as “the official, complete, and permanent depository for all State publications”, and is held responsible for carrying out the provisions of the Act; developing and maintaining standards for depository libraries; designating and contracting with public, community college, technical college, special, college or university libraries as either full or selective depository libraries; and adopting rules to administer the program.

The Government & Heritage Library also provides information and reference services concerning North Carolina and federal publications to state and local government officials, the members of the General Assembly, to state employees, and to the general public by telephone, mail or in person. Copies are loaned directly to state employees and through interlibrary loan to the public. For information and reference services concerning North Carolina State government publications please contact the Information Services Branch, Government & Heritage Library, State Library of North Carolina, Department of Natural and Cultural Resources, 919-807-7450 or slnc.reference@ncdcr.gov or <http://statelibrary.ncdcr.gov/contact.html>

Services Provided by the State Publications Clearinghouse

The North Carolina State Publications Clearinghouse is responsible for collecting, classifying, cataloging, and distributing the publications of state government for the Depository Library System.

Documents are cataloged into the OCLC database and assigned call numbers according to the Classification Scheme for North Carolina State Publications.

When publications are submitted to the Clearinghouse, one is sent to the Library of Congress, two are retained in the Government & Heritage Library State Documents collection (one for permanent reference and one for loan), and the others are distributed to depository libraries.

The Clearinghouse publishes the bimonthly *Checklist of Official North Carolina State Publications* which is available electronically through the State Publications Collection: <http://statelibrary.ncdcr.gov/govdocs/cdm/index.html>

The Clearinghouse is responsible for maintaining records of publications received, classified and cataloged; of all items distributed to the Depository System, and the Library of Congress in biweekly shipments; and all items added to the State Publications Collection digital repository.

Serving as the liaison between the state agencies and the depository libraries, the Clearinghouse strives to maintain open, clear, and continually good communication with both entities.

Please address Depository System inquiries to: Denise Jones, Clearinghouse Liaison, (denise.jones@ncdcr.gov or 919-807-7445) North Carolina State Publications Clearinghouse, Content Management and Access Branch, Government & Heritage Library, State Library of North Carolina, 4640 Mail Service Center, Raleigh, NC 27699-4600.

Section II: Guidelines for Depository Libraries

Types of Depository Libraries

Full depositories receive all publications available for distribution. The purpose of a full depository is to provide a complete research collection of state publications for use in a major geographical area.

Selective depositories provide ready access to state government publications for residents in particular areas of the state. Each selective depository may elect to receive from 25% to 75% of the item categories available for selection, but should select only those publications needed to support its program and to meet the needs of its clientele. Selective depositories should depend on full depositories for seldom used items.

All depository libraries, both full and selective, must review the Item List for categories wanted in order for the Clearinghouse to develop a profile for each depository. Those libraries selecting more than 75% of the Item List will be considered full depositories.

Termination of Depository Status

There are two methods of terminating depository library status:

1. The depository library may voluntarily relinquish its depository privilege, after serving for at least one year as a designated depository library, by written request to the Coordinator of the Clearinghouse, stating that the library no longer wishes to be a depository for North Carolina government publications, and giving reasons for the request. The letter must be signed by the director of the depository library. Following receipt of the letter there will be a ninety (90) day period in which the Clearinghouse and the depository library will attempt to resolve the problems. At the end of that time, if the request is not withdrawn, the depository designation will be withdrawn.
2. After at least one year as a designated depository library the depository privilege may be terminated by the State Librarian if the library fails to meet the requirements for being a depository as set forth in this Handbook, or consistently disregards notices and instructions, resulting in unnecessary expense to the State Library in administering the program. The depository library will be notified in writing by the State Librarian, and will have ninety days (90) in which to comply before depository status is terminated and shipments are discontinued.

Upon termination of the depository privilege, either by request or for cause, the Clearinghouse will send instructions concerning disposition of the depository publications on hand in the collection of the terminated depository library. Materials deposited with a library remain the property of the State of North Carolina and may not be disposed of in any manner without authorization of the Clearinghouse.

Section III: Standards for Depository Libraries

Public Services

The depository collection shall be open to the public for the free use of depository publications. Depository libraries shall offer reference service in the use of state documents to any citizen of the State of North Carolina.

The depository library has the option of establishing its own circulation policies for use of depository materials outside of the library.

Libraries must maintain sufficient hours of public service to allow convenient public access to the documents collection. The absolute minimum allowed is 45 hours per week. Libraries providing service in the evenings and on weekends will be given priority consideration in the designation of depository status.

The public should be aware of the depository status of the library by its use of the North Carolina Publications Depository System logo on doors, equipment and its publications.

The depository library should put a link to the digital State Publications Collection (<http://ncgovdocs.org>) somewhere on its web pages.

Access and Interlibrary Cooperation

All depository libraries are required to lend or to provide photocopies of depository materials to other libraries upon request, subject to existing interlibrary loan agreements and the library's established circulation policy. Libraries will be expected to loan materials via the OCLC interlibrary loan subsystem.

Staffing Requirements

A professional librarian must be designated by the depository library to coordinate depository activities and to act as liaison with the State Library of North Carolina. This individual will be responsible for administering the library's selection and receipt of depository materials.

In a library with a separate state documents collection, the individual shall also be responsible for organizing and maintaining the documents collection, and for providing public services from the collection.

In a library which integrates state documents into its general collection, the state documents liaison may assist other staff members in using these materials effectively.

Adequate support staff must be provided to maintain and service the North Carolina depository documents collection.

Processing and Organization of the Depository Collection

All North Carolina documents received from the North Carolina State Publications Clearinghouse should be processed and accessible to the public within thirty (30) days of receipt by the depository library. All documents received through the depository program must be so stamped.

While use of the North Carolina documents classification scheme is not mandatory, depository libraries must provide an orderly, systematic recording of receipt and subsequent arrangement of documents acquired through the depository program. Each depository shall adopt a method of classification to identify and locate materials received. The selection of the classification scheme is left to the judgment of the depository library.

OCLC holding records cannot be entered by the Clearinghouse for depository libraries. Therefore those depositories that are OCLC libraries need to enter their own holding records for non-ephemeral publications into OCLC.

Maintenance of the Depository Collection

Depository libraries are expected to maintain the collection in good physical condition. Depository libraries with active binding programs are encouraged to give consideration to binding state publications whenever appropriate.

Retention and Disposal of Depository Documents

Full Depositories: Depository items no longer of reference or research value after ten years must be offered to the Clearinghouse before being offered to other depositories. Items that are clearly superseded by or cumulated in a later edition may be discarded upon receipt of the later edition.

Selective Depositories: Depository items no longer essential to the library after five years must be offered to the Clearinghouse before being offered to other depositories. Items that are clearly superseded by or cumulated in a later edition may be discarded upon receipt of the later edition.

Core Collection Titles

There are a number of state government publications that are considered basic for any library collection. These are considered Core Collection titles. The most recent edition of all Core Collection titles must be made available by depository libraries *in either electronic or paper format* appropriate to the library levels.

Some Core Collection documents will be distributed by the Clearinghouse. Depository libraries must purchase and make available for public use non-depository Core Collection titles appropriate to the library level.

Non-depository Core Collection titles include those which the system does not supply and/or for which there is a charge. Copies of those titles should be ordered by the depository library directly from the publishing agency and paid for following the prescribed procedures of that agency.

Full depositories must collect all titles on the Core Collection list. Selective depositories selecting under 50% of document item categories must collect all Level 1 Core Collection titles. Selective depositories selecting between 50% and 75% must collect all Level 1 and Level 2 Core Collection titles.

Appendix A: Document Processing Manual

All documents received through the Clearinghouse must be processed and available for public use, within 30 calendar days of receipt.

Item Lists

All depository libraries, whether full or selective, must keep accurate records of the item numbers they have selected to receive in paper. Each record should also include the North Carolina documents classification number assigned to that item, given on the shipping list. The method used is left to the library, but a permanent record for each item must be maintained.

The Clearinghouse will develop and maintain a profile of each depository library's Item List selections, which will be used to generate the shipping lists for each depository. A printout of a given library's profile will be sent to that library for verification; any inaccuracies should be noted on the printout and returned to the Clearinghouse.

New items may be added by the Clearinghouse as administrative reorganizations and other changes take place in state government.

Core Collection Titles

Depository libraries are required to maintain in paper format Core Collection titles from levels 1-3 corresponding to the percent of Item List selections made:

Level 1 only = 25 – 49% selections

Levels 1 & 2 = 50 – 74% selections

Levels 1, 2 & 3 = 75% and above selections

The Clearinghouse will supply Core Collection titles that are considered depository items. Those titles for which there is a charge are considered non-depository, and must be ordered by the depository library directly from the issuing agency, and paid for following the billing procedures of that agency.

Core Collection titles will be so indicated on the shipping lists. Most Core Collection titles are of a reference nature and depository libraries may wish to make them non-circulating.

Shipments

Shipments are sent to each depository library every two weeks. With each shipment is a customized shipping list, reflecting the selections from the Item List made by the receiving library.

Shipping Lists

Compare the documents in the shipment with the shipping list enclosed, and note any discrepancies between the shipping list, the contents of the shipment, and your library's list of items selected. Materials without Class numbers and OCLC numbers are ephemeral and may be kept or disposed of as appropriate.

If a document is listed on the shipping list but missing from the shipment send an email message to the Clearinghouse within 10 working days of receipt of the shipment. Speedy claims are required so the Clearinghouse can acquire adequate copies from the publishing agency before supplies are exhausted.

If a document is received which the depository library did not select from the Item List, that document must be returned to the Clearinghouse within 10 working days of receipt, with a memo to that effect attached.

Missing Shipments

A schedule of shipments every two weeks is maintained for each depository library. If a shipment is not received within 10 working days of the expected delivery date, email the Clearinghouse immediately with the number of the missing shipment.

Multiple Copies of Documents

Libraries desiring paper copies as replacements or additional copies must obtain them directly from the issuing agency.

Property Stamps

Stamp all verified items received with a depository documents property stamp. This stamp must have a changeable date function. The property stamp must include the phrase "N.C. Depository".

Cataloging

As noted in the *Handbook*, documents are cataloged into the OCLC database by the Clearinghouse, and assigned call numbers according to the *Classification Scheme for North Carolina State Publications*, which is available at <http://statelibrary.ncdcr.gov/govdocs/classification/classification.html> . Call numbers from other classification schemes are not entered by the Clearinghouse.

OCLC holding records cannot be entered by the Clearinghouse for depository libraries. Therefore those depositories that are OCLC libraries need to enter their own holding records for non-ephemeral publications into OCLC upon receipt of the documents.

Retention and Disposal of Depository Documents

Publications in paper that are distributed to depository libraries from the Clearinghouse remain the property of the State of North Carolina and may not be disposed of in any manner without authorization of the State Publications Clearinghouse, except as provided below:

1. Publications that are clearly superseded/revised, upon receipt of the superseded or revised edition.
2. Lists and catalogs of agency publications upon receipt of new edition.
3. Any material cumulated in later issues.
4. Pages from loose-leaf publications that are replaced by updated pages.
5. Material that has an expiration date clearly noted.
6. Any publication that is a duplicate copy, including reprints, regardless of whether the duplicate is paper or microfiche.

7. State publications received from sources other than the State Publications Clearinghouse.
8. Materials listed as ephemeral on shipping lists.

In addition to the above list, full depositories may withdraw after 10 years depository items no longer of reference or research value to that library. However, such titles shall be offered first to the State Publications Clearinghouse before being discarded or offered to other depositories.

Selective depositories may withdraw depository items no longer essential to the library after five (5) years. However, such titles shall be offered first to the Clearinghouse before being discarded or offered to other depositories.

Depository libraries should consider seriously the needs of their patrons prior to withdrawing any items. Some libraries, for instance, may want to retain earlier editions of superseded documents for historical or research purposes. Some libraries may want to retain materials cumulated in later issues. For example, a depository may wish to keep monthly issues of a serial if the annual issues do not contain all the detailed data from monthly issues.

Disposal Lists

Depository libraries that have permission to dispose of publications not covered under these guidelines or want to dispose of publications after the required five or ten year retention period must submit a list to the Clearinghouse. This list shall include title, issuing agency or state documents classification number, and date. These publications will be offered first to the State Library. Any titles not needed by the State Library should be offered to other libraries through the ncdocs list.

Interlibrary Loan

All depository libraries are expected to lend or to provide photocopies of depository materials to other libraries upon request subject to existing interlibrary loan agreements and the library's established circulation policy.

Core Collection titles and other reference materials may be exempted from interlibrary loan. However, depositories should offer to provide photocopies.

Selective depositories should request state documents from the nearest full depository before turning to the State Library for interlibrary loan. Selective depositories should review their depository document interlibrary loan requests annually, select materials in response to an unexpected demand or not previously selected.

Interlibrary loan requests for depository documents should follow standard interlibrary loan procedures.

Annual Report

Annual reports are no longer required. However, you may be contacted by the Clearinghouse Liaison for information about how patrons are using the state publications.

Core Collection Titles

All North Carolina depository libraries should have publications marked Level 1. Libraries choosing between 50% and 74% of items on the Item List are Level 2 collections and should have all publications marked 1 or 2. Level 3 collections are full depositories and should have all publications marked 1, 2 and 3.

Please see the most current list on the Clearinghouse web site:

<http://statelibrary.ncdcr.gov/ghl/services/coretitles.html>

Appendix B: NC General Statutes – Chapter 125 Article 1A 1

§ 125-11.5. Purpose.

The purpose of this Article is to establish a depository system for the distribution of State publications to designated libraries throughout the State in order to facilitate public access to publications issued by State agencies. (1987, c. 771, s. 2.)

§ 125-11.6. Definitions.

As used in this Article:

- (1) "Depository library" means a library designated to receive and maintain State publications and make them available to the public.
- (2) "Document" means any printed document including any report, directory, statistical compendium, bibliography, map, regulation, newsletter, pamphlet, brochure, periodical, bulletin, compilation, or register, regardless of whether the printed document is in paper, film, tape, disk, or any other format.
- (3) "State agency" means every State department, institution, board, and commission.
- (4) "State publication" means any document prepared by a State agency or private organization, consultant, or research firm, under contract with or under the supervision of a State agency: Provided, however, the term "State publication" does not include administrative documents used only within the issuing agency, documents produced for instructional purposes that are not intended for sale or publication, appellate division reports and advance sheets distributed by the Administrative Office of the Courts, the S.B.I. Investigative "Bulletin", documents that will be reproduced in the Senate or House of Representatives Journals, or documents that are confidential pursuant to Article 17 of Chapter 120 of the General Statutes. (1987, c. 771, s. 2.)

§ 125-11.7. State Library designated the official depository for all State publications.

The State Library shall be the official, complete, and permanent depository for all State publications, and shall receive five copies of all State publications in addition to the copies required for the depository system: Provided, however, the State Library shall receive only five copies of any State publication offered for sale by a State agency at a price at least high enough to recover production costs: Provided, further, the State Library, notwithstanding the definition of "State publication" contained in this Article, shall have authority to exclude from required deposit in the State Library any items or materials which it finds are not appropriate for deposit. (1987, c. 771, s. 2.)

§ 125-11.8. State Publications Clearinghouse created.

- (a) A State Publications Clearinghouse is created within the Department of Cultural Resources, the Division of State Library.
- (b) The Clearinghouse shall:
 - (1) Advise State agencies annually of the number of copies of State publications needed for distribution.
 - (2) Advise State agencies annually that they are required to submit only five copies of any State publication offered for sale at a price at least high enough to recover production costs.
 - (3) Receive from State agencies promptly after publication the number of copies of State publications specified, and distribute these to the depository libraries.
 - (4) Prepare on microfiche one or more copies of each State publication that is

printed on paper for reference and interlibrary loan purposes.

(5) Publish a checklist of State publications and distribute the checklist without charge to all requesting North Carolina libraries.

(6) Forward two copies of all State publications that are printed on paper to the Library of Congress. (1987, c. 771, s. 2.)

§ 125-11.9. Powers and duties of the State Library.

The State Library:

(1) Shall carry out the provisions of this Article.

(2) Develop and maintain standards for depository libraries. The standards shall include the ability to receive, process, organize, retain, and make available State publications and the ability to provide reference assistance and interlibrary loan service for depository publications.

(3) Shall designate depository libraries, taking into account regional distribution and number of persons served, such that State publications will be conveniently accessible to residents in all areas of the State. The State Library may designate at least one library in each congressional district.

(4) May designate as selective depository libraries those institutions that wish to receive less than the full deposit. Selective depository libraries shall meet the same standards for reference and interlibrary loan service as full depository libraries.

(5) May enter into depository contracts with public libraries and community, technical, special, college and university libraries that meet the standards for depository eligibility adopted by the Clearinghouse.

(6) Shall determine how many copies of State publications each State agency must submit for the State depository system. The State Library may permit a State agency to submit fewer copies of a document if the State Library determines that fewer copies are adequate in light of the cost of the document and the projected public interest in the document.

(7) Shall adopt rules to administer the depository program. These rules may include the State Library's priorities and resulting schedules for collecting, maintaining, and making available State publications in various formats. (1987, c. 771, s. 2; 1991, c. 636, s. 14.)

§ 125-11.10. Duties of State agencies.

(a) State agencies shall send the requested number of copies of each of their publications to the Clearinghouse within 10 days of issuance.

(b) The head of each State agency shall designate a publications officer who shall be responsible for supplying the requested number of copies of each State publication of that agency to the Clearinghouse. Each agency shall notify the Clearinghouse of the identity of its publications officer before October 1, 1987, and within 30 days of any change of publications officer. The publications officer shall supply the Clearinghouse semiannually a complete list of the agency's State publications issued within the previous six months and any other information regarding the publications of the agency requested by the Clearinghouse.

(c) State agencies may request permission from the State Library to submit fewer than the requested number of copies of a document. The request shall include information on the cost of the document and the projected public interest in the document.

(1987, c. 771, s. 2.)

§ 125-11.11. Advisory Committee.

The Secretary of Cultural Resources may appoint an advisory committee of State officials and depository librarians to review and advise on the operation of the depository system.

(1987, c. 771, s. 2.)

§ 125-11.12: Repealed by Session Laws 1993, c. 447, s. 1.

§ 125-11.13. Alkaline paper required for government publications.

(a) State publications that are of historical or enduring value and importance to the citizens of North Carolina shall be printed on alkaline (acid-free) paper. These publications shall be designated on an annual basis by the State Librarian and the University Librarian at the University of North Carolina at Chapel Hill and shall include publications of an historical, biographical, legal, or statistical nature relating to the State of North Carolina, past, present, or future. These publications shall identify thereon, adjacent to the name of the agency responsible for publication, a statement that the publication is printed on permanent paper.