



North Carolina State Publications Clearinghouse

Providing Access to State Government Publications

Handbook for State Agencies

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

North Carolina State Publications Clearinghouse

Government Documents Branch
Government and Heritage Library
State Library of North Carolina
4643 Mail Service Center
Raleigh, NC 27699-4643

Telephone: (919) 807-7465 Kurt Brenneman, Agency Outreach Librarian

Fax: (919)733-1843

Courier: 52-31-33

Email: slnc.digitaldocs@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 and Heritage Library
State Library of North Carolina
4641 Mail Service Center
Raleigh, NC 27699-4641

Telephone: (919)807-7450

Fax: (919)733-5679

Address all interlibrary loan correspondence according to standard loan procedures.

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Preface

North Carolina state government agencies are required by law to deposit multiple copies of their publications with the North Carolina State Publications Clearinghouse of the State Library of North Carolina, North Carolina Department of Cultural Resources. This *Handbook* is provided to assist agency contacts in complying with G.S. 125-11, "An act to establish and maintain a depository library system for publications of North Carolina State Government."

This *Handbook* examines the following: the North Carolina State Documents Depository System; agency participation in the program, including advantages to the agency; responsibilities of the agency contacts; definition of state publications; procedure for depositing publications with the Clearinghouse; and appropriate sample forms.

This *Handbook* will enable your agency to understand the program and to participate fully in it, thereby providing the citizens of North Carolina with convenient access to the many valuable publications produced by our state agencies.

Questions and suggestions concerning the *Handbook*, the Depository System, or any aspect of your agency's compliance with the law regarding this program are welcome. Please address them to:

Jennifer Davison
Clearinghouse Coordinator
North Carolina State Publications Clearinghouse
Government Documents Branch
Government and Heritage Library
State Library of North Carolina
4643 Mail Service Center
Raleigh, NC 27699-4643

Telephone: (919)807-7442
Fax: (919)733-1843

Section I: North Carolina State Documents Depository System

Purpose of the Depository Library Program

The North Carolina State Documents Depository System, created by [G.S. 125-11](#), effective October 1, 1987, established for the first time in North Carolina an orderly system for the distribution of publications of 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, enables citizens from all areas of North Carolina to have timely and easy access to the valuable current and historical publications of their 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 [G.S. 125-11](#); 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 and Heritage Library which is part of the State Library of North Carolina 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. Publications are loaned directly to state employees and through interlibrary loan to libraries serving other citizens across the state and the country. For information and reference services concerning North Carolina State government publications, please contact the Information Services Branch, Government and Heritage Library, State Library of North Carolina, 4641 Mail Service Center, Raleigh, NC 27699-4641; 919/807-7450; Fax 919/733-5679.

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. The Clearinghouse produces bimonthly the [Checklist of Official North Carolina State Publications](#) which lists new titles cataloged by the Clearinghouse during the preceding two months.

When publications are submitted to the Clearinghouse, two copies are sent to the U.S. Library of Congress, two copies are retained in the Government and Heritage Library, state documents collection for permanent reference and for loan. All additional paper copies are sent to depository libraries requesting paper copies of agency publications.

For publications that exist exclusively in digital format on agency web sites, the Clearinghouse now maintains a digital repository of publications, the North Carolina State Publications Collection, to provide access to publications throughout the State. This repository is accessible through NC Live as well through the State Library's web pages and at the following URL: <http://statelibrary.ncdcr.gov/govdocs/cdm/index.htm> or <http://tinyurl.com/ncstatepubs>.

The Clearinghouse is responsible for maintaining records of publications received, classified and cataloged, of publications previously microfiched, and the distribution of all items through the Depository System. 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: Kurt Brenneman, Agency Outreach Librarian, Government Documents Branch, Government & Heritage Library, State Library of North Carolina, 4643 Mail Service Center, Raleigh, NC 27699-4643; 919/807-7465; Fax 919/733-1843.

Services Provided by [Depository Libraries](#)

Libraries interested in becoming depositories apply and must meet certain standards regarding their geographic location, interlibrary loan, and reference service as well as space availability. Libraries may choose to receive documents in paper copy or digital format collected and distributed by the Clearinghouse. Libraries also choose to be designated as full depositories and receive all publications, or they may be selective, taking fewer publications based on the needs of their community.

The purpose of a full depository is to provide a complete research collection of state publications for the use of a major geographical area. Selective depositories provide ready access to fewer state publications for local residents and depend on the nearest full depository for additional material through interlibrary loan cooperation. Reference assistance is available for library users requesting state government information.

Section II: Agency Participation in the Depository System

State Agency Responsibilities

The publications of state government are the heart of the North Carolina State Documents Depository Program. Full state agency participation is essential to the success of the whole depository enterprise. Centralized distribution of state publications to libraries is cost effective for the agencies. The depository system provides state agencies with the opportunity to have their publications available in a variety of geographic locations and accessible to the citizens of North Carolina with a minimum of effort on the part of the agency.

In [G.S. 125-11](#), a state agency is defined as "every State department, institution, board, and commission." The Statute provides further that "state agencies shall send the requested number of copies of each of their publications to the Clearinghouse within 10 days of issuance."

Before 1987, many agencies had been accustomed to sending five copies of all publications to the State Library. When the depository system was established in 1988, the Clearinghouse requested more copies to serve the depositories.

All agencies are required to have an agency contact, which is responsible for sending the correct number of copies of the agency's publications to the Clearinghouse. The statute requires that agencies notify the clearinghouse within 30 days of any change of contact information.

Advantages of Participation

There are several advantages to state agency's full participation:

1. Two copies of publications submitted to the State Publications Clearinghouse are sent to the U.S. Library of Congress. These publications are thereby available to the North Carolina Congressional delegation for official use.
2. Two copies of each publication submitted are retained at the State Library, one on permanent reference, one available for loan.
3. All additional copies requested over the first four are sent to designated depository libraries which have requested agency publications in paper copy.
4. All publications submitted and cataloged are listed in the bi-monthly [Checklist of Official North Carolina Publications](#) produced by the Clearinghouse and available on the internet, thereby providing publicity for state government programs, studies, and other special publications.
5. The Clearinghouse classifies submitted publications according to the [Classification Scheme for North Carolina State Publications](#). Information about each publication is then entered into OCLC, an international bibliographic database where users from other libraries may find the publication.
6. The automatic distribution of paper copies of state publications to designated depository libraries in all parts of the State enables citizens to have timely and easy access to information produced by their government.
7. Digital copies of publications are submitted to the Clearinghouse and are added to the digital repository. These publications are also cataloged and available through multiple access points including WorldCat, the State Library's catalog and the catalogs of depository libraries.
8. Centralized distribution from the Clearinghouse allows agencies to reduce their mailing lists or possibly delete some recipients altogether. Centralized distribution also reduces the number of specific title requests to each agency from libraries.

Section III: Responsibilities of the Agency Contact

The agency contact should have a thorough knowledge of the agency, its publications, and policies regarding submission of documents to the Clearinghouse. The agency contact is responsible for transmitting the agency's publications to the Clearinghouse in a timely and efficient manner. General Statute 125-11.10 dictates "State agencies shall send the requested number of copies of each of their publications to the Clearinghouse within 10 days of issuance." The practice of holding material "until a box is full," or mailing monthly or less often is specifically prohibited by this statement in the law. Publishing units and agency contacts are required to comply with [G.S. 125-11](#).

The correct number of agency publications should be submitted with a completed [Publications Transmittal Form](#) and other appropriate forms. The chart describing the number of publications is in Section V of this document.

The agency contact is responsible for obtaining a signed [Copyright Release Form](#) for each copyrighted title and forwarding the signed release with the Publications Transmittal Form and copies being shipped to the Clearinghouse.

As stated in G.S. 125-11, the agency contact is also responsible for supplying 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." The list is due at the Clearinghouse on July 15 and January 15 of each year.

On the Semiannual Publications List Form there is a place to indicate the For Sale Price or cost per copy to an individual for those items for which there is a charge. The cost to produce the item is not relevant to our purpose and is not necessary to list. In addition there is a place on the form to list publications that have been discontinued by the agency and the date of the last issue. This information is required for the depository library records.

To enable full agency participation, the Statute requires agency contacts be named in each state agency to supply its publications to the Clearinghouse. The agency contacts may act as a conduit between the individual publishing entities within an agency and the Clearinghouse.

Some agency contacts notify all units in the agency at least annually concerning the number of documents required to be transmitted to the Clearinghouse and send sample copies of the transmittal and other necessary forms in order for the unit to submit the documents directly to the Clearinghouse. Section V of this *Handbook* has been designed to answer questions about document transmittal and compliance with the law which the agency contacts are free to use and distribute to publishing units in the agency.

It is also suggested that a system be established in each agency to record the titles published and the number of copies transmitted to the Clearinghouse. This will enable the agency contacts to respond easily to any queries concerning items published, transmitted, or missing and to submit promptly the Semiannual Publications List Form.

Communication between the agency contacts and the Clearinghouse may be needed to assure understanding of which publications are appropriate for transmittal, to submit the Copyright Release Form as needed, to indicate the number of publications which need to be transmitted, and to request information regarding a given publication as well as to respond to other queries and concerns.

The Clearinghouse will send claims to agency contacts for publications submitted in insufficient quantities or not received.

Section IV: State Publication Defined

Two definitions in G.S. 125-11 are pertinent to this section:

1. "**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."
2. "**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."

The Statute further indicates that the State Library "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."

Some items are exempt from deposit based on the nature of the item or its content. Examples of such items are intra-office memos or administrative documents, internal training materials, manuals or handbooks for internal office staff use, and budget requests or contracts. In addition, time-sensitive materials, such as activity announcements, seminar schedules, and calendars of events which will be out-of-date in three months are exempt. Meeting minutes, agendas, radio or TV spots and individual job announcements are also exempt from deposit. A more complete listing is given in Section V.

Items required to be listed but not deposited is a category which includes materials in non-print formats. These items include videos, films, and sound recordings. If one or two copies of these materials can be submitted, they will be added to the collection in the State Library of North Carolina and made available to citizens of the state in accordance with established policies and procedures.

Generally, materials reflecting the internal organization and function of the agency (items listed in the agency's records management schedule) would not be deposited with the Clearinghouse. If the publication is not listed as a part of the records management schedule and is not among the exempt items listed above, it is likely to be a depository item. Contact the Government Records Branch, Office of Archives and History at (919) 807-7350 for information on a records management schedule for your agency or office. Information is also available on the Government Records Branch web site (<http://www.records.ncdcr.gov/>).

All other publications are required for deposit, including any produced exclusively in digital format are required for deposit. Publications in digital format need to have only one copy deposited. Digital copies may be emailed to slnc.digitaldocs@ncdcr.gov.

The Clearinghouse is mandated to make publications in paper format available to depository libraries across the state. Therefore, publications that are produced in both digital and paper must be deposited in both formats. Agencies must deposit one digital copy of publications that are distributed exclusively in digital format.

Where the publication was printed, whether within the agency, by another State agency, or by a commercial printing firm, is irrelevant to the status of the materials as a depository item. The targeted audience for publications is not relevant to the depository status of the materials as long as such publications are available for distribution outside of the agency.

Five free copies of all publications produced by state agencies for sale to the public must be deposited with the Clearinghouse within ten days of issuance. Depository libraries wanting paper copy of those publications must order them directly from the issuing agency, following the agency's billing procedures.

If copies are not intended to be printed, but distributed digitally, the digital copy must still be submitted to the Clearinghouse through email (slnc.digitaldocs@ncdcr.gov).

When there is doubt about a particular publication being appropriate for deposit, please indicate reasons in writing and send a sample copy for examination to:

Kurt Brenneman, Agency Outreach Librarian
N.C. State Publications Clearinghouse
Government and Heritage Library
State Library of North Carolina
4643 Mail Service Center
Raleigh, NC 27699-4643
(919)807-7465
(919)733-1843 (fax)

Staff from the Clearinghouse, are available to come and talk with your publications staff. Please contact the Agency Outreach Librarian to set up an appointment.

Section V: Procedure for Depositing Publications with the Clearinghouse

Introduction

The following section has been prepared as a stand-alone description of the transmittal procedure. Agency contacts who have chosen to delegate the transmittal to publishing units may wish to reproduce and distribute the section with appropriate examples listed below to all units in their agency which currently publish or may publish materials necessary to be transmitted directly by that unit to the Clearinghouse.

Agency contacts may find it helpful to attach a copy of [General Statute 125-11](#) and the list of [depository libraries](#). The contact should remind the unit that their mailing lists can be purged of the addresses for libraries listed, if the agency complies with depository law by transmitting publications directly to the Clearinghouse.

A number of state government publications are considered basic for any library collection. These publications are called [Core Collection](#) titles. Agency contacts should carefully note which publications on the Core Collection List are published by their agency and inform the unit that the title is listed as a core title and more copies must be sent to the Clearinghouse. Please notify the Clearinghouse a month in advance if possible when you expect to issue a new edition of a Core List title.

Every depository library must have copies of Core Collection publications in paper copy or digital format. Publications on the Core list for which there is a charge will be ordered directly from the issuing agency by the depository library wanting a copy and will be paid for following the agency's billing procedures. The State Library, under G.S. 125-11, is to receive free of charge five copies of any state publications offered for sale, including those on the Core List. Copies of publications on the Core List for which there is no charge are to be sent directly to the Clearinghouse.

It is suggested that agency contacts schedule a meeting every year with the agency's publishing units and staff from the North Carolina State Publications Clearinghouse. This meeting will assist the agency contacts to review the process, introduce new publishing units to the program, and provide a forum to express concerns about any procedure they are expected to perform. The Clearinghouse staff is available to provide a training session on the depository system and document transmittal whenever requested.

Deposit Procedure

When a publication is produced by a state agency, the agency is required by law as stated in G.S. 125-11 to transmit, either directly or through the agency contacts, copies of the publication within 10 days of issuance to the North Carolina State Publications Clearinghouse at the State Library. If the publication is copyrighted, a [Copyright Release Form](#) must be signed and transmitted with the publication.

Which Publications Qualify?

Documents or publications as defined in G.S. 125-11 which are published by any State department, institution, board, or commission and documents caused to be published by any of these State entities are required for deposit with the Clearinghouse. Examples are listed in the following excerpts from the law.

1. "Documents mean 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."
2. "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."

Which Publications Are Exempt?

All agencies: the following items are **exempt** from deposit

1. Activity announcements
2. Calendar of current single or multiple events which will occur within three months of issuance (annual calendar of events are not exempt)
3. News releases
4. Published versions of radio and television spots (published speeches are not exempt)
5. Manuals or handbooks for internal office staff use or training
6. Intra-office or inter-office memorandums or administrative documents
7. Contracts
8. Unit and section budget requests (publications of the Office of State Budget, Planning and Management are not exempt)
9. Individual forms
10. Separately published job announcements
11. Meeting agendas
12. Meeting minutes
13. Concert, drama, dance programs (exhibition catalogs are not exempt)

Universities: the following items are **exempt** from deposit

1. Applications
2. Material geared for parents
3. Course schedules
4. Campus Weekly (UNCG)
5. Daily student newspapers
6. Conference Brochures/pamphlets
7. Class schedules, seminar announcements (college bulletins or catalogs are not exempt)
8. Some departmental/faculty newsletters - this is determined on a case by case basis

Universities: the following items **are distributed:**

1. Publications from university institutes/centers
2. University histories
3. Exhibition catalogs
4. College handbooks
5. University catalogs
6. Annual Reports
7. Alumni pubs
8. Progress Reports
9. University Magazines
10. Chancellor Reports
11. Commencement materials

How Many Copies Are Required?

In order to answer this question, you must first determine whether your publication is on the [Core Collection](#) list. This list consists of thirty-six regularly published titles about State government that all depository libraries are required to maintain in paper copy if one is available. Your agency contact will inform you if one of your publications is on this list.

Publications listed on the Core list for which there is a charge will be ordered by depository libraries directly from the issuing agency and paid for following the agency's billing procedures.

Under G.S. 125-11, the Clearinghouse receives free of charge five copies of any state publications offered for sale, including those on the Core list. Agencies are strongly encouraged to supply free of charge all publications to depository libraries whenever feasible.

Copies of publications on the Core list for which there is no charge to libraries are to be sent directly to the Clearinghouse as is done for publications not on the Core list.

When you have answered the following questions: 1) is the document on the Core list? and 2) is the item for sale?, then use the following matrix to determine the number of copies required.

	Core List Title	Not a Core List Title
Sales Item	send 5 copies	send 5 copies
Not a Sales Item	send 22 copies	send 10 copies

For example, if the publication is not a Core List title and is not for sale, you are required to send 10 copies. Non Core List, non sales titles are the most common form of item published by state government.

What About a Publication That Is Exclusively Available Through the Agency's Web Site?

For publications distributed only through a web site, the publication still needs to be sent to the Clearinghouse using the slnc.digitaldocs@ncdcr.gov email. A [transmittal form](#) should be included in the email, as well as a copyright release form if needed.

What Is the Purpose of the Transmittal Form?

The transmittal form serves as a record for publications sent to the Clearinghouse. Also, The Transmittal Form is used to make sure that the Clearinghouse receives the correct items. Sometimes agencies send the wrong title or the wrong number of copies.

How Should I Fill Out the Transmittal Form?

For print publications, attach one completed [Publications Transmittal Form](#) to the correct number of copies of each title being transmitted. It is in your agency's best interest to retain a copy of the transmittal form for each title sent, either with the publications officer or in the publishing unit, as directed by the publications officer.

For documents which are published only once or are not a continuing periodical or serial, please answer "no" on the first line of question 6 on the transmittal form concerning publication issued in series, and on line 7 under "Frequency" write "One Time" indicating the publication is a monograph or one time publication.

For publications issued as part of a series, please give the exact series name and the series number of the particular issue being transmitted. This information should be printed on the publication itself.

For publications issued annually, biennially, quarterly, monthly, weekly, etc., please indicate the frequency in line 7 of the transmittal form.

Often publications are issued to replace or supersede an earlier title. If the publication being transmitted is such a replacement, please provide the title of the previous publication in line 8 and 9 of the transmittal form. This information is especially important if the current publication has a different title than the earlier edition.

If all the information required for the transmittal form is not available from the publication itself, it is important to obtain that information within the publishing unit before transmitting it to the Clearinghouse.

What Is the Purpose of the Copyright Release Form?

A signed [Copyright Release Form](#) should be included with the transmittal form and shipment of each copyrighted publication. The copyright release will allow the Clearinghouse to add an electronic copy of the publication to the State Publications Collection repository.

How Should the Publications Be Sent to the Clearinghouse?

Shipments may be in boxes or in envelopes, but all copies of one title should be in one shipment if possible. The packages may be sent through interoffice mail for agencies in Raleigh that are eligible for that service. The State Courier Service or the U.S. Postal Service, Library Rate, may be used marking the packages accordingly. When more than one package is required for a single title, the transmittal form should be in the package marked number 1, with a notation on the form that the shipment is more than one package, giving the number of packages (i.e., package 1 of 3). The Clearinghouse Courier number is 52-31-33.

How Will I Know the Clearinghouse Received the Copies?

The Clearinghouse will verify the shipment is complete as indicated in the transmittal form. If requested, the Clearinghouse will notify the agency contact that a shipment has been received. If the shipment is incomplete or if there are other discrepancies, the Clearinghouse will contact the agency contact in order to rectify any discrepancies.

We Publish Some Things in Limited Quantities, What Should I Do When I Don't Have Enough Copies?

The depository system does not request large numbers of copies of publications. Each agency publishing unit should be aware which libraries in the State are depositories under G.S. 125-11 so that your mailing lists are not sending duplicate copies to libraries which should be receiving publications through the Clearinghouse. When each agency publishing unit complies with the law, duplications will not occur.

If insufficient copies of a title are received, the Clearinghouse will send a claim to the agency contact requesting the additional number of copies of the publication. It is imperative that, if available, the additional copies be promptly transmitted to the Clearinghouse.

Occasionally the Clearinghouse learns of a publication already issued but not received as required. A request will be submitted to the agency contact of the issuing agency for the copies needed.

What Libraries Are in the Depository System under G.S. 125-11?

State publication depository collections are in many university libraries in the state, some public libraries, and private and community college libraries. See the current listing of [Depository Libraries](#).