Chapter

6

Chapter 6 Technical Services

Defines technical services and identification of technical service functions in a Federal depository, provides an explanation of depository shipments, details the procedures for claiming missing publications from depository shipments, includes a cataloging overview, and shares a list of resources that assist with cataloging and processing depository materials

What's New or Important

The enhanced [Catalog of U.S. Government Publications](http://catalog.gpo.gov/) (http://catalog.gpo.gov/) contains records dating back to July 1976.

Material distributed through the Federal Depository Library Program (FDLP) remains the property of the Federal Government, your depository library is the legally responsible custodian of the Federal Government property it receives through the FDLP. As such, your depository is REQUIRED to perform certain technical service functions.

Specifically, your depository MUST maintain a holdings record to the piece level of all depository selections received in tangible format.

- A comprehensive shelflist in either paper or electronic format MUST be used to maintain your depository library's holdings records. Depository holdings records can be part of the larger library's shelflist; the documents shelflist does not have to be a separate entity.

- For serials, piece level records for each issue MUST be maintained by your depository until the issues are bound, replaced by microformat, etc. Then a holdings statement can be substituted for the individual records.

- This record keeping requirement does not mean that a shelflist card must be generated for each piece. For instance, the holdings record for some map series could be comprised of a basic shelflist record for the map series plus checking-off the appropriate quadrangles of maps received on the index map.

- In addition to basic bibliographic information, your holdings records should contain information such as a Superintendent of Documents (SuDoc) number, if

appropriate, and an accession or receipt date to aid in disposition, and, if applicable, your unique depository identifier or location symbol.

- Your depository's integrated library system can serve as the depository shelflist if 100% of depository material is cataloged and the records are updated in accordance with collection maintenance practices.

- Your depository publications need not be recorded separately from the rest of the library's collection.

- If you choose to use vendor-supplied cataloging records as your depository holdings records, the tape load should be tailored to your library's item number profile, checked against actual receipts, and coupled with your library entering individual issues of serials received.

- Marked shipments lists do not constitute a record of the library's depository holdings and should not be used for that purpose.

Your depository MUST ensure that all tangible publications to which a library is entitled are received from GPO and make them available for public use as soon as possible. Specifically,

- All shipments should be unpacked and processed as they are received. Failure to do so affects access to the material and can result in the loss of depository status.

- Your depository should check all shipping lists against your item selection profile to ensure that publications selected are received.

- Your depository should maintain, in paper or electronic format, a record of publications selected. A downloaded electronic file, such as the ones created by DDM2, is an example of the type of record libraries should keep. While GPO recommends libraries maintain a historic record of selection and de-selection, this is no longer required.

- Publications not received should be promptly claimed, if appropriate. Some publications cannot be claimed. More information about claims is available in the Claims for Depository Publications section of this chapter.

- Each publication in the shipment, regardless of format, MUST be identified as Federal Government property. Your depository is strongly encouraged to mark depository material, by stamping it with your library's name and "depository" for example, to distinguish it from publications received from other sources.

- Your depository is also strongly encouraged to record the SuDoc classification number on all publications when an alternate classification system is used. This will assist with identification of publications from a citation with only a SuDoc number and facilitates discard procedures.

- Publications not waiting for full cataloging should be processed within ten working days from receipt of the shipment. Material waiting for cataloging should be sorted for easy retrieval by staff for users.

- Your depository should also mark all out of date or superseded material that is retained in the collection as "superseded" or "not current". Aeronautical and nautical charts should also be stamped "Not to be used for navigational purposes."

Definition of Technical Services

Technical services are those activities and operations of your Federal depository library that regularly bring you into indirect contact with users of government information resources.

Two major technical service goals are to acquire, organize and maintain government information resources that meet the needs of your primary users and the general public.

Acceptable technical service occurs when any member of the primary user group and the general public can easily locate and retrieve, at no cost, the government information products available at your depository. Acceptable technical service further means government information products are being selected which meet both primary user needs as well as those of the general public, that the resources are being organized (cataloged), and maintained in a manner that promotes efficient retrieval and use.

Identification of Technical Service Functions

The functions included in technical services may vary from depository library to depository library but two operations generally form the basis of all technical services: acquisitions and cataloging. Many depository libraries also include processing of materials as a function of technical services.

Acquisition of depository materials includes selection, receipt, and processing. Selection of materials is discussed in chapter 5 of this Handbook under Collection Development. For a brief discussion of receipt and processing of depository materials, see below.

Explanation of Depository Shipments

There are four major types of depository shipments.

- GPO ships paper and tangible electronic publications in boxes with the library's depository number indicated on the mailing label and handwritten on the inside of the box. If you receive another library's box in error, please notify GPO using askGPO (http://www.gpoaccess.gov/help/) and provide your depository number as well as the depository number of the library whose shipment you received. GPO will send either a prepaid mailing label for the other library or a mailing label to return the shipment to GPO.
- Separate shipments are mailed in containers or envelopes and are usually large

bound or unbound volumes, maps or posters in tubes, and oversized publications. The shipping list number is printed on the mailing label for identification. Typically, separate shipments are grouped together on separate shipping lists, although occasionally, a separate package shipment is listed on a regular shipping list. Shipping lists for separate shipments are included in the boxes with regular shipments.

- Microfiche shipments are generally shipped directly from the contractor.
- Maps from the U.S. Geological Survey (USGS) are sent in shipments separate from the regular depository boxes. Shipping lists or packing slips just for the maps are enclosed.

Shipping Lists

A depository shipping list is an itemized record of the contents of a complete depository shipment. Besides listing all the publications in a complete shipment, a shipping list also indicates the item numbers under which the publications were distributed, the titles and series numbers of the publications, and the SuDoc classification numbers. There are five sequential numbering schemes for the materials distributed from GPO: paper (P), microfiche (M), separates (S), and electronic publications (E). USGS ships maps directly from their distributor and provide their own shipping lists, which indicate the GPO item number, map title, and scale information.

GPO's fiscal year begins on October 1 each year. The shipping list numbering sequence re-starts each October. As an example, the sequence of shipping list numbers for fiscal year 2007 is shown below:

Paper	Microfiche	Separates
2007-0001-P	2007-0001-M	2007-0001-S
2007-0002-P	2007-0002-M	2007-0002-S
Electronic		
2007-0001-E		
2007-0002-E		

The first four digits indicate the fiscal year; the next number is the sequential number of the shipping list, and the letter indicates the medium of the materials included on that shipping list.

A complete shipment contains all the items listed on one shipping list. Most selective depositories select only a percentage of the total items available and receive only

those items that match their current selection profile. Selective depositories often receive several shipments, with their corresponding shipping lists, in a single shipment box. Every depository library receives a copy of each depository shipping list whether or not it selects any of the items listed.

In the event a shipping list is missing from a shipment box, the missing list may be acquired through various mechanisms:

- FDLP Shipping Lists (http://www.access.gpo.gov/su_docs/fdlp/tools/sl/index.html)
- Documents Data Miner 2 (http://govdoc.wichita.edu/ddm2/gdocframes.asp)
- Regional depository library
- Other depository libraries
- askGPO (Federal Depository Libraries category and Distribution/Shipments— Shipping List subcategory) (http://gpo.custhelp.com/cgi-bin/gpo.cfg/php/enduser/ask.php)

Shipping lists need not be retained or maintained after they have been processed as a copy of the shipping list is archived at GPO. Many depository libraries find it useful, however, to retain the lists for approximately six months to ensure proper accounting of receipts.

Receipt: Corrected Copies

Whenever your depository library receives a corrected copy of a publication, it replaces a publication previously distributed through the FDLP. The publication that was initially distributed should be removed from your collection and disposed of accordingly. This is done in order to prevent misinformation from being disseminated to the public. These copies are identifiable by the /CORR at the end of the SuDoc classification number.

Star prints are corrected editions of Congressional publications. They are identifiable by stars printed at the lower left-hand corner of their title pages or covers. Sometimes the words "star print" also appears adjacent to the star. Star prints are always treated as new editions, not as reprints, and a new cataloging record is created. The SuDoc number for a star print will include /CORR after the number assigned to the original edition.

Receipt: Duplicate Publications and Shipments

If your depository library receives a duplicate copy of a publication, it is considered a secondary copy and it may be discarded immediately or offered on a discard list to the regional depository. If, however, it is substantial in size or a popular publication, submit a request using askGPO (http://gpo.custhelp.com/cgi-bin/gpo.cfg/php/enduser/ask.php) to obtain a prepaid mailing label to return it to GPO.

It is important to remember that when one library receives a duplicate shipment or publication, it probably means that some other library has not received a shipment. If the library should receive a duplicate shipment, please check the box's mailing label and the depository library number written on one of the box's flaps, to determine if the shipment should have gone to another library. The flap number is the correct indication of the depository, not the mailing label. If duplicates become a chronic problem, please contact askGPO.

Shortages in Shipments

GPO makes every effort to prevent shortages of publications supplied for depository library distribution. When shortages occur, steps will be taken to remedy them as soon as possible. These steps may include certain types of publications being shipped short with a rain check to avoid delaying distribution. However, other publications may be shipped short without rain checks if tangible copies are not available for full distribution and an equivalent copy is available electronically. Publications that are shipped short, with or without rain checks, cannot be claimed.

Claiming Missing Publications in Depository Shipments

- Items missing from your depository shipment may be claimed as missing.
- The items should be claimed immediately.
- You should claim missing publications as soon as possible or within 60 days of receipt of the shipment.
- Both individual publications and entire shipments may be claimed.
- You may only claim publications currently identified on your depository item selection profile.
- Claims may not be made to replace publications that you received and later lost.
- It is possible to file a claim for a replacement copy of defective publications or publications damaged in shipment.
- If LSCM is unable to fulfill a claim, the claim will be returned and marked "Exhausted".
- Claims for material from LSCM-issued shipping lists are handled by LSCM.
- Microfiche claims MUST be made through the appropriate microfiche contractor and claims for USGS maps must be sent to USGS.
- Always provide complete information when contacting LSCM about missing depository publications such as item numbers, correct series or title, issuing agency, depository library number, SuDocs classification number, and shipping list number.
- LSCM prefers all claims to be made online but claims may be faxed if the online forms are unavailable to you.

LSCM maintains a Claims Copies Exhausted (http://www.access.gpo.gov/su_docs/fdlp/tools/webclaim_ex.html) Web page that lists publications that are deemed exhausted after initial distribution. As a result no claims copies are available for those publications. The Web page is updated periodically as Depository Distribution Division exhausts its claims/surplus stock of a title, please review this page before filing a claim with GPO. If you see that the needed publication appears on the list, GPO will not be able to fill the claim. If GPO is unable to fill a claim, your depository library may be able to acquire a needed publication through the Needs and Offers list (http://www.access.gpo.gov/su_docs/fdlp/tools/needs_of/index.html).

To file a claim for material from a GPO-issued shipping, complete the Web Claim form (http://www.access.gpo.gov/su_docs/fdlp/tools/webclaim.html). Issues of the *Federal Register* or the *Congressional Record* on microfiche can also be claimed through GPO. In the comments area of the form, note that you are claiming the microfiche version of the title.

Claims for microfiche, except those noted above, and USGS maps should not be sent to GPO. To file a claim for missing microfiche or USGS maps, circle the missing titles on the microfiche or USGS shipping list and provide your depository number and mailing address. Then mail or fax the shipping list to the appropriate microfiche contractor or USGS.

Processing of depository materials includes those technical services tasks or activities which prepare material for public access and use. These tasks may include

- receiving depository shipments and opening shipment boxes;
- comparing the contents of the boxes to the shipping lists to ensure you received the appropriate item numbers and materials according to your current item number selections;
- marking or stamping all depository materials regardless of format to distinguish them from non-depository materials;
- dating depository materials with the date of receipt or date of processing to identify materials eligible for discarding five years after receipt;
- placing SuDocs classification numbers on materials, and
- arranging the materials in a manner convenient for practical use by staff or users while awaiting cataloging.

The SuDocs classification number should be placed on all documents even if other classification systems are used. Use of the SuDocs number helps to identify materials from SuDocs citations and facilitates updating and discarding procedures. As the SuDocs number is commonly used by many other depository libraries, it provides a specific identification for borrowing and simplifies compiling or checking discard lists.

Remember many titles are time sensitive, so shipments should be unpacked and processed as they are received. Also items not awaiting full cataloging should be processed within 10 working days from the date the shipment was received.
To help you with processing, LSCM compiles Administrative Notes Technical Supplement (ANTS) which is available online as an Excel spreadsheet on the Webtech Notes page (http://www.fdlp.gov/newsflash/webtechnotes.html). It contains corrections to previous shipping lists, changes to the List of Classes, and other important announcements pertaining to the FDLP.

Cataloging Overview

Cataloging greatly enhances accessibility and patron usage and is strongly recommended for all or part of the depository collection, including online publications. Your depository may wish to include its depository holdings in OCLC to enhance access and facilitate resource sharing.

Arrangement of depository materials should conform with professionally accepted library standards and the Instructions. The arrangement should facilitate the practical use of the depository collection.

There are many advantages to using the SuDocs classification system. Librarians have found the SuDocs class numbers to be a practical and economical method for organizing Federal Government documents, and most depositories arrange the majority of their documents holdings in SuDocs classification number order. However, Federal Government publications can easily be made an integral part of library collections under any other arrangement.

Publications may be arranged according to the SuDoc classification system, other classification systems, or a combination of systems. Arrangement of depository material in your parent library should facilitate the practical use of the collection. However, the catalog record should also include the SuDoc number when your library uses a different classification system.

GPO is recognized as the national authority for cataloging of U.S. Government publications and creates cataloging records for government publications in all formats. These cataloging records are then made available for use by the public and libraries through the Catalog of U.S. Government Publications (CGP) (http://catalog.gpo.gov/). More information about GPO cataloging rules and procedures is available in the GPO Cataloging Guidelines (http://www.access.gpo.gov/su_docs/fdlp/cip/gpocatgu.doc) and through the Cataloging and Indexing Program Web page (http://www.access.gpo.gov/su_docs/fdlp/cip/index.html).

Resources That Assist With Cataloging and Processing Depository

Materials

Cataloging Resources

- Andrew, Paige G. *Cataloging Sheet Maps: The Basics*. Paige G. Andrew. New York: Haworth, c2003.

- Andrew, Paige G. and Mary Lynette Larsgaard. *Maps and Related Cartographic Materials: Cataloging, Classification, and Bibliographic Control*. New York: Haworth, 1999. (Also published in Cataloging & Classification Quarterly, v.27, nos. ½-3/4, 1999.)

- "Answers to Frequently Asked Questions About Maps" In *Administrative Notes*, June 15, 2001. http://www.access.gpo.gov/su_docs/fdlp/pubs/adnotes/ad061501.html

- *Cartographic Materials: A Manual of Interpretation for AACR2, 2002 Revision*, prepared by the Anglo-American Cataloguing Committee for Cartographic Materials. 2nd ed. Chicago: American Library Association. 2003, with updates.

- Chan, Lois Mai. *Cataloging and classification: An update*. 2nd ed. New York: McGraw Hill, 1994.

- DocTech-L. http://list.lib.usu.edu/mailman/listinfo/doctech-l

  An electronic discussion list that focuses on processing government publications.

- Government Documents Roundtable. *Toolbox for Cataloging and Processing Federal Government Documents*. http://www2.lib.udel.edu/godort/cataloging/toolbox.htm (accessed August 28, 2006).

- Library of Congress. *Cataloging Policy and Support Office.* http://www.loc.gov/aba/ (accessed August 28, 2006).

- Library of Congress. MARC standards. http://www.loc.gov/marc/ (accessed August 28, 2006).

- Library of Congress. Geography and Map Division. *Map Cataloging Manual*. Washington, D.C.: The Division, 1991.

- Joint Steering Committee for Revision of Anglo-American Cataloguing Rules, *RDA: Resource Description and Access* http://www.collectionscanada.gc.ca/jsc/rdaprospectus.html (accessed August 28, 2006).

- U.S. Government Printing Office. *Cataloging and Indexing Program.* http://www.access.gpo.gov/su_docs/fdlp/cip/index.html (accessed August 28, 2006).

- U.S. Government Printing Office. "GPO Cataloging Guidelines" (Washington, D.C.: U.S. GPO, 2002), http://www.access.gpo.gov/su_docs/fdlp/cip/gpocatgu.pdf (accessed August 28, 2006).

Processing Resources

- Government Documents Round Table. *GODORT Handout Exchange : Processing Procedures* http://www.lib.umich.edu/govdocs/godort/proc.htm (accessed August 28, 2006).

- University at Buffalo – GPO official partnership. Enhanced Shipping List Service. http://ublib.buffalo.edu/libraries/units/cts/acq/gpo/ Automatically check your inclusion list against shipping lists, prints call number labels or save the label file for your library to print label.

- U.S. Government Printing Office. *FDLP Federal Bulletin Board Files* http://fedbbs.access.gpo.gov/ (accessed August 28, 2006).

  - Includes dbf shipping list files, ASCII text versions of important FDLP publications, and dbf and text files for the underlying data in FDLP Desktop searchable databases (for example, Item Lister).

- U.S. Government Printing Office. Processing Tools. http://www.access.gpo.gov/su_docs/fdlp/tools/index.html (accessed January 22, 2007). This section of the FDLP Desktop provides tools and resources to assist you in the day-to-day processing and handling of depository materials to meet these bibliographic control and collection maintenance requirements.

- U.S. Government Printing Office. *WEBTech Notes*. http://www.fdlp.gov/news/latest/webtechissues.html (accessed August 28, 2006). WEBTech Notes is a searchable database of information from the Administrative Notes Technical Supplement. Updated weekly, it is cumulative back to 1991.

- U.S. Government Printing Office. *Administrative Notes Technical Supplement (ANTS)*. http://www.access.gpo.gov/su_docs/fdlp/pubs/techsup/index.html ANTS is a monthly newsletter which updates various FDLP related publications, directories, depository listings, etc. Some inquiries result in corrects to SuDocs classification numbers, items, etc. These changes are also published in *ANTS* and posted to *WEBTech Notes*.

- Wichita State University Libraries and Computer Center. Documents Data Miner 2. http://govdoc.wichita.edu/ddm2/gdocframes.asp (accessed January 22, 2007) DDM2 is a search engine combining files from the latest version of the List of Classes, Current Item Number Selection Profiles for Depository Libraries, and the Federal Depository Library Directory.

Tips, Practical Advice, and Lessons Learned

- Keep up-to-date with new practices of other depository coordinators by attending the Federal Depository Library Conference, reading reports from the conference, or subscribing to e-mail discussion groups. You will continually discover efficient and timesaving practices for processing and cataloging publications.

- Cultivate a good working relationship with your regional depository coordinator and staff; they often save your depository library time and effort with cataloging, classification, and corrections. Keep in mind that selective depository libraries can also assist regional depository libraries.

- If depository material is cataloged outside of the depository operation, cultivate a good working relationship with the library's technical services staffs.

- Maintain a manual for handling, processing, and cataloging government publications, with various policies, procedures, and decisions recorded and regularly updated. All decisions and changes should be written down for future reference, and local policies and procedures relating to depository material should also be recorded and kept easily accessible for all staff.

- Staff should be cross-trained so that there is adequate staffing in times of emergencies, resignations, vacations, and reassignments to avoid backlogs in the processing of depository shipments and to avoid delays in providing access to depository material.

- Cataloging records for both serials and monographs are continuously updated and corrected based on new information. Libraries should plan to update records as indicated by *Administrative Notes Technical Supplement (ANTS)* (http://www.access.gpo.gov/su_docs/fdlp/pubs/techsup/index.html) and *WEBTech Notes* (http://www.access.gpo.gov/su_docs/fdlp/tools/webtech.html) as well as to monitor and make any required corrections to batch-loaded records. Changes may include SuDoc numbers, typographical corrections, corrections in access points such as names, subject headings, and corrections to URLs and PURLs. Libraries are encouraged to develop policies and procedures for updating records.

Did you realize that you don't have to…?

- Classify U.S. Government publications in a classification system separate from the rest of the library's collection; government publications can be integrated into any classification systems the library utilizes.

Important for Library Administrators

- Libraries are encouraged to mainstream government publications into the overall library collection, as appropriate; government publications collections do not have to be maintained in Superintendent of Documents number order.

- Library administrators should consider requesting and reviewing statistics concerning their depository and government publications collections. Among the statistics commonly found on library-related surveys are:
    - Number of monographic titles cataloged by format, i.e., paper, microform, tangible electronic, and others;
    - Number of monographic volumes added by format;

- Number of serial titles cataloged by format;
- Number of serial issues added by format; and
- Number of records maintained or updated.