EPAINFORMATION PROCEDURES

OFFICE OF ENVIRONMENTAL INFORMATION

EPA Classification No.:	CIO 2170.2-P-03.1	CIO Approval Date:	3/04/2011
CIO Transmittal No.:	11-003	Review Date:	3/14

Issued by the EPA Chief Information Officer,
Pursuant to Delegation 1-19, dated 07/07/2005

EPA REPOSITORY LIBRARY MANAGEMENT PROCEDURES

1. PURPOSE

The purpose of this document is to establish Agency-wide procedures by which libraries in the EPA National Library Network ensure that official EPA documents and other hard to replace but infrequently used materials are available in perpetuity in their originally-published format. These procedures will help ensure that two copies of EPA documents are held in the combined collections of the repository libraries.

2. SCOPE AND APPLICABILITY

These procedures apply to the EPA National Library Network and all EPA organizations that provide library services either onsite or through a Memorandum of Understanding (MOU) with another Network library. They provide baseline operational standards for all Network libraries. Individual libraries may develop local procedures to supplement the Network procedures.

3. AUDIENCE

The audience for these procedures includes Assistant Administrators, Deputy Assistant Administrators, Regional Administrators, Deputy Regional Administrators, Assistant Regional Administrators, Associate Administrators, Senior Information Officials, Information Management Officers, Federal Library Managers, Contract Library Managers, and EPA staff.

4. BACKGROUND

The EPA National Library Network is committed to providing access to EPA documents held in EPA libraries. These valuable resources may include technical reports, guidance documents, directives, and policies, which serve a broad audience of EPA staff, researchers, and the general public. Increasingly, EPA documents are being scanned and digitized into the National Service Center for Environmental Publications (NSCEP) website, a digital archive of Agency documents. NSCEP encompasses EPA's database of electronic publications, known internally as the National Environmental Publications Internet Site (NEPIS). To ensure perpetual access to these materials, it is important to retain at least two copies of each EPA document in its originally published format, be that print, CD-ROM, or microfiche, as an archival copy. These documents will be permanently housed in one or more of the three Agency repository libraries, each of which has been assigned subject areas of specialization.

5. AUTHORITY

Agency Delegation 1-19 GENERAL, ADMINISTRATIVE, AND MISCELLANEOUS, Paragraph 2(b)

(http://intranet.epa.gov/oei/imitpolicy/qic/documents/delegation_1-19_revised070705.pdf).

CIO Policy 2170.1 EPA National Library Network dated 5/15/09
(http://intranet.epa.gov/oei/imitpolicy/policies.htm)

6. PROCEDURES

6.1 Repository Libraries

6.1.1 Repository libraries are the responsible custodians of the items added to the repository from other Network libraries. The three EPA repository libraries with their respective subject specialties are:

6.1.1.1 EPA Headquarters Repository, Washington, D.C. – Waste, including hazardous waste, pesticides, regional/local environmental topics deemed important to EPA staff, and other topics not included elsewhere as determined by the needs of the Agency.

6.1.1.2 Research Triangle Park Library (RTP), Research Triangle Park, NC – Air and health effects.

6.1.1.3 Andrew W. Breidenbach Environmental Research Center (AWBERC), Cincinnati, OH – Water, including surface water and groundwater, and risk assessment.

6.2 Libraries shipping items to repositories will adhere to the following:

6.2.1 Any EPA document not already held in a repository's collection is eligible for addition to one of the repository collections. Priority will be given to unique or rare EPA documents of value to the Agency.

6.2.2 Prior to determining what is to be sent to a repository, the owning library will check EPA's Online Library System (OLS) to determine if an item is already held by a repository. The EPA Library Materials Dispersal Procedures provide further details on what items are eligible to be added to a repository.

6.2.3 Even if multiple copies of an EPA document are held in one or more network libraries, there must be two copies of each document held by one or more repository libraries.

6.2.4 Materials being sent to repositories must be packed in suitable, sturdy boxes; boxes should not weigh more than an average person can reasonably handle.

6.2.5 All boxes will include a shipping manifest listing the contents included in each box. The manifest template may be accessed at the following URL:
http://intranet.epa.gov/librarynetwork/documents/manifest_template_Sep09.xls

6.2.6 All shipments will be coordinated with the repository manager ahead of time via e-mail with regards to anticipated shipping date(s), number of boxes, and approximate total number of items.

6.2.7 Materials will be shipped using a traceable method so that boxes can be accounted for during all steps in the process.

6.2.8 Shipping libraries will remove their holdings record from OLS via OCLC following processing of items at the repository library. In some cases, with prior arrangements, this step of the process may be done by the receiving repository library.

6.2.9 Libraries must check repository collections via OLS/OCLC before weeding or dispersing materials to verify that two copies are already held by one or more repository libraries.

6.3 Repository libraries will adhere to the following:

6.3.1 Intake Processing

6.3.1.1 As soon as possible upon receipt of items, Repository library staff will check contents against shipping manifests included in each box.

6.3.1.2 Repository staff will notify sending library as soon as possible if any items are missing or if extra items are included that are not on shipping manifest.

6.3.1.3 Repository staff will confirm complete receipt of items with the shipping library.

6.3.1.4 Repository staff will unpack and process shipped items as they are received.

6.3.1.5 All items shipped to repositories will be unpacked for easy retrieval by staff and processed as soon as possible.

6.3.1.6 Repository libraries will maintain repository processing statistics for each shipment with regard to library of origin, date of arrival, number of boxes, number of items, boxes/items processed, and the copy cataloging and original cataloging counts.

6.3.1.7 Repositories will maintain a holdings record in OLS and OCLC of all repository items received in tangible format.

6.3.1.8 Repository libraries will retain shipping manifests for a minimum of one year after all materials have been fully processed. Beyond that time, repositories will retain shipping manifests in accordance with Agency records retention schedules.

6.3.1.9 All repository materials, regardless of format, will be marked, using an ink stamp or label, with "Repository Material – Permanent Collection" to distinguish these items from non-repository materials.

6.3.1.10 Repository libraries will ensure that holdings records for transferred materials have been adjusted to show the appropriate change of ownership, following agreements in place between the original owning library and the repository to which materials were sent. This may involve the repository staff or the original owning library updating the OCLC records.

6.3.2 Collection Management

6.3.2.1 Repository materials are not to be dispersed or weeded through normal collection management procedures. Repository materials become part of the permanent collection and may only be considered for dispersal or discard after careful review and adequate justification by a library workgroup comprised of Network librarians and library managers. In making dispersal decisions the workgroup may seek the advice of Agency experts as outlined in the EPA Library Materials Dispersal Procedures, Sections 6.1.3 and 6.1.4. Any dispersal of repository materials must follow the established EPA Library Materials Dispersal Procedures, Sections 6.7.4 through 6.7.6, which include guidance on federal property management regulations.

6.3.2.2 Repository materials may be integrated with the general document or library collection, maintained as a separate sub-collection within the library, or stored off site.

6.3.2.3 Documents stored off site must be provided adequate housing sufficient to control, protect, and preserve all repository materials regardless of format.

6.3.2.4 Documents stored off site must be retrievable within 24 hours.

6.3.2.5 The repository will provide a standard of care that ensures proper preservation, protection from theft, deterioration, and mold.

6.3.2.6 The repository will perform an inventory of repository materials at least every five years. This can be part of a standard library inventory if the items have been

integrated into the library's general collections.

6.3.2.7 The repository library will make every effort to replace lost, stolen, or damaged documents by making requests for copies to other EPA or Federal libraries. If a replacement copy cannot be located, the repository may print out a copy from the NSCEP website and add that copy to the repository.

6.3.2.8 The repository will maintain adequate levels of staffing to allow for bibliographic control, physical access, maintenance, and administrative control of repository materials.

6.3.3 Providing Access to Repository Materials

6.3.3.1 Repository libraries are not required to provide walk-in access to their collections, but must make every effort to provide materials when needed. This may be accomplished through Interlibrary Loan/Document Delivery services.

6.3.3.2 Notifying a library of an electronic version of a document on the NSCEP website or providing a photocopy is considered an acceptable substitute to providing the physical document unless there is sufficient justification to warrant the use of the physical document.

6.3.3.3 Repository libraries will make every effort to assist with public access to the materials held in a repository either by referring them to the digital archive on the NSCEP website or by following the established EPA Library Interlibrary Loan/Document Delivery Procedures.

6.3.3.4 Members of the public should continue to initiate their requests through their local library (public, academic, organizational).

6.3.3.5 To minimize the risk of damage or loss of repository materials, libraries will attempt to retrieve materials for interlibrary loan requests from either the NSCEP website or other lending libraries first.

6.3.3.6 Repository libraries will work with appropriate Cincinnati NEPIS staff to ensure that appropriate repository materials are properly digitized and made available electronically. See the Digitization Processes for EPA Libraries procedure for further details.

7. RELATED DOCUMENTS

American Library Association, Association of College and Research Libraries (ACRL) Division. Guidelines for Borrowing and Lending Special Collections Materials for Exhibition, dated 01/2005 (http://www.ala.org/ala/mgrps/divs/acrl/standards/borrowguide.cfm).

American Library Association, Association of College and Research Libraries (ACRL) Division. Guidelines on the Selection and Transfer of Materials from General Collections to Special Collections, Third Edition, dated 07/01/2008 (http://www.ala.org/ala/mgrps/divs/acrl/standards/selctransfer.cfm).

American Library Association. Guidelines for the Interlibrary Loan of Rare and Unique Materials, revised 06/2004 (http://www.ala.org/ala/mgrps/divs/acrl/standards/rareguidelines.cfm).

EPA National Library Network. EPA Library Cataloging Procedures, dated 10/20/2010 (http://intranet.epa.gov/librarynetwork/moving_forward.html).

EPA National Library Network. EPA Library Interlibrary Loan/Document Delivery Procedures, dated 10/20/2010 (http://intranet.epa.gov/librarynetwork/moving_forward.html).

EPA Office of Administration and Resources Management. Guidelines for Filling Out the Manifest Form and Boxing Up Documents, revised 08/25/2009 (http://intranet.epa.gov/librarynetwork/documents/Guidelines_Filling_Out_Manifest_Form_Sep09.pdf).

EPA Office of Administration and Resources Management. Manifest Template for Sending Materials to NEPIS for scanning, dated 09/2009 (http://intranet.epa.gov/librarynetwork/documents/manifest_template_Sep09.xls).

The University of the State of New York, The State Education Department, The New York State Library. New York State Document Depository Manual, dated 1989 (http://www.nysl.nysed.gov/edocs/education/depos.htm).

U.S. Government Printing Office. Federal Depository Library Handbook, accessed 10/20/2010 (http://www.fdlp.gov/administration/handbook).

8. **ROLES AND RESPONSIBILITIES**

Assistant Administrator for Environmental Information: The Assistant Administrator, OEI, as the CIO for the Agency, has the overall responsibility for the governance and coordination of the EPA National Library Network, including establishing policy and supporting procedures, standards, and guidance to ensure the effective oversight of the EPA National Library Network.

Assistant Administrators and Regional Administrators: Assistant Administrators and Regional Administrators with libraries within the EPA National Library Network have the overall responsibility for the management of their individual libraries, for compliance with Agency-wide policies, procedures, standards and guidance relating to the Library Network and to ensure that their individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission.

National Library Program Manager: The National Library Program Manager has the day-to-day responsibility to provide assistance and guidance to offices in the operation of the EPA National Library Network and to ensure that the individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission. The National Library Program Manager resides in OEI's Office of Information Analysis and Access.

Federal Library Managers: The Federal Library Managers have first-line responsibility for operation of physical Network libraries and provision of library services and to ensure that their individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission.

9. **DEFINITIONS**

Access: The ability of members of the public to obtain information from a government agency. All public libraries and most academic libraries in the United States are open to the general public, but access to certain areas such as closed stacks, rare books, and special collections may be restricted. In a more general sense, the right or opportunity to use a resource that may not be openly and freely available to everyone. In computing, the privilege of using a computer system or online resource, usually controlled by the issuance of access codes to authorized users or, more broadly, the ability of a user to reach data stored on a computer or computer system.

Archiving: Placing documents in storage, usually to preserve them as a historical or informational, legal, or evidential record, permanently or for a finite or indefinite period of time. Can refer to physical or electronic storage.

Bibliographic Control: A broad term encompassing all the activities involved in creating, organizing, managing, and maintaining the file of bibliographic records representing the items held in a library or archival collection, or the sources listed in an index or database, to facilitate access to the information contained in them.

Collection Management: The activity of planning and supervising the growth and preservation of a library's collections based on an assessment of existing strengths and weaknesses and an estimate of future needs.

Copy Cataloging: The adaptation of a pre-existing bibliographic record, usually found in OCLC or some other bibliographic database, to fit the characteristics of the item in hand, with modifications to correct obvious errors and minor adjustments to reflect locally accepted cataloging practice; as distinguished from original cataloging which is creating a completely new record from scratch.

Digitization: The conversion of hard copy documents, printed text, or images into digital form through the use of scanning technologies.

Dispersal: The transfer of library materials to other libraries. Materials may be dispersed to other EPA libraries or to external libraries, such as those of other federal agencies, state governments, or universities. Dispersal may occur as part of a library's normal weeding schedule or as part of a larger effort to reduce the physical size of the library collection.

Document Delivery Service: The provision of published or unpublished documents in hard copy, microform, or digital format, usually for a fixed fee upon request. In most libraries, document delivery service is provided by the interlibrary loan office on a cost-recovery basis. The patron is usually required to pick up printed material at the library, but electronic full-text may be forwarded via e-mail. Also refers to the physical or electronic delivery of documents from a library collection to the residence or place of business of a library user, upon request.

EPA Document/Publication: An official EPA publication in any format, with a special alpha-numeric identifier known as an EPA publication number.

EPA National Library Network: A national network composed of EPA libraries and repositories located in the Agency's Headquarters, regional and field offices, research centers, and specialized laboratories, as well as Web-based access to electronic collections. Network libraries are defined as those libraries with an official membership presence in the Online Computer Library Center (OCLC) system. Centralized network coordination comes from the Agency's Office of Environmental Information. Individual EPA libraries are administered by a range of offices in conjunction with contract staff.

ILL: See Interlibrary Loan.

Interlibrary Loan (ILL): The process by which a library requests materials from, or supplies materials

to, another library. This service is provided upon request of a library user for materials not available in the local library.

Lending Library: A library or other institution that provides materials on request to another library, usually via interlibrary loan.

Manifest: A list of items that describes the contents included in shipments of library materials. The manifest should facilitate verification and processing of materials at the shipment destination and should include identifying information such as titles, call numbers, and formats.

Materials: Items within the library collection that may include books, journals, reports, miscellaneous publications, microform, multimedia, and other physical objects. Generally, library materials do not include official records, but convenience copies of records may be included.

Memorandum of Understanding (MOU): A memorandum signed by more than one agency or organization that promises cooperation or coordination on a specific issue, project, or agenda.

Microfiche: A small card-shaped sheet of photographic film designed for storing miniaturized text and/or microimages arranged sequentially in a two-dimensional grid.

Microform: A generic term for a highly reduced photographic copy of text and/or images stored on a translucent medium (microfiche or microfilm) or on an opaque medium such as card stock (microopaque or aperture card). Microforms can be original editions or reproductions. Reader-printer machines are required to view and make hard copies. Digital storage media such as magnetic tape and disk, CD-ROM, etc., are superseding microforms in information storage and retrieval to some extent.

MOU: See Memorandum of Understanding.

National Environmental Publications Internet Site (NEPIS): EPA's electronic publications database behind the National Service Center for Environmental Publication (NSCEP) website. NEPIS was launched in 1997 and in January 2007 was integrated under the National Service Center for Environmental Publications (NSCEP). In 2010 the NEPIS term was phased out of public branding for NSCEP and retained for internal use only.

National Service Center for Environmental Publications (NSCEP): Based in Cincinnati, NSCEP maintains and distributes EPA publications in hardcopy, CD-ROM and other multi-media formats. The NSCEP website also serves as a repository for and online gateway to free, electronic copies of EPA publications.

NEPIS: See National Environmental Publications Internet Site.

NSCEP: See National Service Center for Environmental Publications.

OCLC: See Online Computer Library Center.

OLS: See Online Library System.

Online Computer Library Center (OCLC): OCLC is a nonprofit, membership-based, computer library service and research organization dedicated to the public purposes of furthering access to the world's information and reducing information costs. OCLC maintains the largest catalog and interlibrary loan network in the world, which assist librarians and the general public with locating, acquiring, cataloging, lending, borrowing and preserving library materials.

Online Library System (OLS): The online catalog for the EPA Library Network, which provides bibliographic records for the items residing in EPA libraries and links to documents on environmental topics on the Internet. OLS allows searches by author, title, subject heading, any standard numbers that are assigned to the work, classification number, and allows for keyword searching of the record.

Original Cataloging: The creation of a bibliographical or cataloging record from the beginning without the aid of a pre-existing record. Most EPA documents require original cataloging by EPA libraries because they are usually the first to see the works. Original cataloging of EPA documents represent EPA's contribution to the OCLC database. As EPA is able to copy catalog from records created by other agencies and institutions, the other agencies and institutions will be able to copy catalog from records created by EPA libraries. Original cataloging is more time consuming than copy cataloging. To offset the time spent in creating an original record, OCLC offers a credit towards the account of the cataloging library.

Preserve: To prolong the existence of library and archival materials by maintaining them in a condition suitable for use, either in their original format or in a form more durable, through retention under proper environmental conditions or actions taken after a book or collection has been damaged to prevent further deterioration.

Processing Functions: The steps taken to make materials shelf-ready in libraries. This can include but may not be limited to cataloging, stamping, and placing labels on books and resources.

Repository Library: A central place where library collections are stored and made accessible. EPA repository libraries collect and preserve EPA documents and other materials deemed of value to the EPA National Library Network.

Services: Any service provided by the library. The most common services are answering questions and conducting research (known as reference), providing access to online databases, and interlibrary loan to retrieve materials from other libraries.

Stacks: The area of a library where the main body of the collection (usually books and periodicals) is stored when not in use, usually on rows of free-standing double-faced shelving. In some libraries, the stacks are closed to the public, but most libraries in the United States allow patrons to browse all or part of their primary collections in open stacks.

Unique EPA Document/Publication: Document published by EPA or on behalf of EPA, and for which there is only one copy held within the EPA National Library Network.

Weeding: The process of evaluating items in a library collection title by title to identify for permanent

withdrawal those that meet pre-established weeding criteria, especially when space in the stacks is limited. Because weeding usually refers to print materials and other physical formats, it is a narrower term for deselection.

10. WAIVERS

Waivers to these procedures must be approved by the Assistant Administrator for Environmental Information/Chief Information Officer. Waiver requests must be submitted in writing by the requesting office's Senior Information Official (SIO) through the Director of the Office of Environmental Information, Office of Information Analysis and Access (OIAA).

11. RELATED POLICIES, STANDARDS AND GUIDANCE

The following related policies, standards, and guidance documents are available on the Office of Environmental Information Policy page (http://epa.gov/irmpoli8/policies/index.html):

CIO 2170.1-P-01. EPA Library Materials Dispersal Procedures

CIO 2170.1-P-04. EPA Library Usage Statistics Procedures

CIO 2170.1-P-05. Digitization Processes for EPA Libraries

CIO 2171.0. Information Access Policy

CIO 2171-P-01. Information Access Procedures

12. MATERIAL SUPERSEDED

These procedures supersede the EPA Library Systems Manual 2130, dated January 1977.

13. ADDITIONAL INFORMATION

For further information about these procedures, please contact the Policy and Program Management Branch of the Information Access Division in Office of Information Analysis and Access, Office of Environmental Information.

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