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

DIGITIZATION PROCESSES FOR EPA LIBRARIES

1. PURPOSE

The purpose of this document is to establish Agency-wide procedures by which libraries in the EPA National Library Network identify, prepare, and send EPA documents to the National Service Center for Environmental Publications (NSCEP) in Cincinnati for digitization so they may be added to the National Environmental Publications Internet Site (NEPIS) database.

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. Quality assurance procedures are covered in NSCEP's documentation.

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 National Service Center for Environmental Publication (NSCEP) website serves as an online gateway to free, electronic and print copies of EPA publications (<http://www.epa.gov/nscep/>). The NSCEP website encompasses EPA's database of electronic publications, known internally as the National Environmental Publications Internet Site (NEPIS). NEPIS was launched in 1997 and in January 2007 was integrated under NSCEP, EPA's Cincinnati-based publications center.

All Agency documents held by libraries within the EPA National Library Network that are not currently in the NEPIS database will be sent to Cincinnati for digitization so they may be added to the digital archive for public access. The original print documents may either be returned to the owning library or may be sent to the appropriate EPA repository for archiving. Repository library managers will work with libraries to determine the most appropriate location for archiving hard copy EPA documents.

The three repository libraries within the EPA National Library Network and their respective subject specialties are:

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- EPA Headquarters Repository, Washington, DC – 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.
 - Research Triangle Park Library (RTP), Research Triangle Park, NC – Air and health effects.
 - Andrew W. Breidenbach Environmental Research Center (AWBERC), Cincinnati, OH – Water, including surface water and groundwater, and risk assessment.
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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 Prioritizing EPA documents for digitization

- 6.1.1 The Agency documents held by the libraries in the EPA National Library Network that need to be digitized and added to NEPIS can be divided into two very broad groups: those documents held by only one EPA library, commonly referred to as “unique EPA documents,” and those documents held by more than one Network library.
- 6.1.2 The NEPIS managers have the responsibility for working with the libraries in the Network to develop and implement appropriate schedules for shipping documents to Cincinnati for digitization. A general schedule for the digitization of documents has been outlined as follows:
 - 6.1.2.1 Any library or repository holding the only copy of any EPA documents not already available in NEPIS will send said documents to be digitized. The libraries may choose to either have the documents returned to them or have them sent to the appropriate repository.
 - 6.1.2.2 Next, the repository libraries will send their non-unique EPA documents that are not in NEPIS to NSCEP for digitization.
 - 6.1.2.3 Finally, the other EPA libraries that have EPA documents that are not available in NEPIS will send those documents for digitization.
- 6.1.3 NSCEP will digitize the documents and return them to the originating library or forward them to the final repository destination as indicated on the box manifest included with the shipment.
- 6.1.4 Any uncataloged documents requiring digitization must be cataloged prior to sending to NSCEP for inclusion in NEPIS. Cataloging may be performed by the owner library's onsite cataloging staff or through an arrangement with other EPA libraries providing cataloging services. Since uncataloged materials are difficult to identify and locate, cataloging of these materials must be high priority.

6.2 Selecting, preparing, and sending EPA documents for digitization

- 6.2.1 Request a “Documents Report for Digitization,” a report of unique EPA documents for the specific library from the Online Library System (OLS) Administrator in Research Triangle Park, NC. The “Documents Report for Digitization” includes the following data fields:

- 6.2.1.1 Call number

- 6.2.1.2 Owner library
 - 6.2.1.3 Holdings
 - 6.2.1.4 OCLC number
 - 6.2.1.5 Title
 - 6.2.1.6 Publisher
 - 6.2.1.7 Author
 - 6.2.1.8 Publication Year
 - 6.2.1.9 URL, if available
 - 6.2.2 Review the "Documents Report for Digitization" for the local library.
 - 6.2.2.1 Using OLS, verify that each EPA document listed on the report is unique to the library. Documents that are not unique to the library may be retained by the originating library or forwarded to the appropriate repository.
 - 6.2.2.2 Search the NSCEP website to determine if any EPA documents listed in the Documents Report have already been digitized and are available in NEPIS. If any documents are in NEPIS, the listings for those documents may be removed from the Documents Report; and those documents may be returned to the collection or boxed and shipped directly to the appropriate repository if not already held there.
 - 6.2.3 Select items for digitization and inclusion in NEPIS. The "Digitization of EPA Library Materials" draft report can provide additional guidance on which documents may be digitized.
 - 6.2.3.1 Any documents without Agency publication numbers should have a publication number assigned by NSCEP prior to shipment for digitization. It is the responsibility of the owner library to contact NSCEP for publication numbers.
 - 6.2.4 Contact the NEPIS manager (OARM-Cincinnati) to coordinate shipping/digitization schedule prior to sending any materials to NSCEP.
 - 6.2.5 Gather and prepare the EPA documents to be shipped to NSCEP for digitization.
 - 6.2.6 Package EPA documents for digitization in a sturdy, suitable box for shipping. A box approximately 10" x 12" x 15" will accommodate most documents and will be of a manageable size and weight. Boxes should not weigh more than an average person can reasonably handle.
 - 6.2.6.1 Pack the EPA documents in the box.
 - 6.2.6.2 Prepare a manifest for each box using the box manifest template. After retaining a copy for the library, place the manifest in an envelope labeled with the box number, the name of the originating library, and the address of the library where the EPA documents should be sent after being digitized (returned to the originating library or forwarded to the final repository destination). Place the envelope on top of the documents in the box.
 - 6.2.6.3 Seal the box securely.
 - 6.2.6.4 Clearly label each box with the box number and the name and address of the originating library.
 - 6.2.6.5 Ship the boxes to NSCEP for digitization. The address for shipping materials is included in the manifest template.
 - 6.2.6.6 NSCEP will digitize the EPA documents and return them to the originating library or forward them to the final repository destination as indicated on the manifest.
 - 6.3 Tracking EPA documents sent for digitization
 - 6.3.1 The "Documents Report for Digitization" supplied by the OLS Administrator will be used to track the EPA documents during the digitization process to ensure their availability to
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any requestor. Columns can be added to the report to enter the date sent for digitization and the date returned. Those columns should be updated at each processing point as the documents are shipped, checked, digitized, and returned to their intended final destination.

- 6.3.2 The originating library will delete its holdings from OLS records through OCLC processes for any items that will be forwarded to a repository and not returned following digitization. This process must be coordinated with the receiving repository and completed only after the documents have been digitized and reached their final destination.

6.4 EPA documents returned from digitization must be evaluated by library or repository staff to determine the following:

- 6.4.1 All documents expected to be returned were included in shipment.
- 6.4.2 Documents were returned intact, with all pages included.
- 6.4.3 Documents are available through the NSCEP website and digital copy includes all pages contained in original document.
- 6.4.4 Documents that require repair must be repaired prior to shelving.

6.5 Preparing the EPA documents for shelving at final destination

- 6.5.1 Re-bind the documents if necessary.
- 6.5.2 Write the call number and OCLC number on the title page of the document.
- 6.5.3 Write or stamp the word "NEPIS" on the title page to indicate that the document has been added to NEPIS.
- 6.5.4 Stamp with a property stamp indicating the name and address of the repository or the library housing the document.
- 6.5.5 Create and affix a new spine label.

6.6 Editing the OCLC record as needed

- 6.6.1 Add the EPA publication number to the report number field and edit the call number if those EPA publication numbers will be used as call numbers for any EPA documents assigned new publication numbers.
- 6.6.2 Add URLs for the electronic copy of the EPA documents in NEPIS.

6.7 Identifying and adding "born digital" documents to the NEPIS archive

- 6.7.1 Staff in each Network library, in the regular course of their work, will endeavor to identify "born digital" official documents and will alert the NEPIS manager of the availability of such documents.
- 6.7.2 NEPIS staff will evaluate the "born digital" candidates identified by the library staff and will add them to NEPIS as appropriate.

6.8 Responsibilities of NSCEP

- 6.8.1 NSCEP will evaluate each EPA document before digitization to verify that the document has an EPA publication number.
- 6.8.2 For those documents that do not have a publication number, NSCEP will assign official EPA publication numbers, using the standard EPA numbering system. Local call numbers, OCLC numbers, and Library of Congress call numbers will not be used as publication numbers.
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- 6.8.3 NSCEP will scan the best available copy of an EPA document. If a clean copy of a document is available from the NSCEP warehouse, that copy will be digitized for inclusion in NEPIS.
- 6.8.4 In the digitizing process, it is necessary to remove any bindings from EPA documents being digitized. NSCEP will return original pocket portfolios, clear report covers, pressboard report covers, and three-ring binders with the documents if possible.
- 6.8.5 Any EPA document not selected for inclusion in NEPIS (e.g. the document already exists in NEPIS) will be returned to the originating library or final repository library with a notation and an explanation on the manifest as to why the document was not included in the digitization process. That explanation must be added to the Documents Report used for tracking the documents.
- 6.8.6 NSCEP will follow a Quality Assurance Project Plan (QAPP) during the process of digitizing materials for the NEPIS database.
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7. RELATED DOCUMENTS

Digitization of EPA Library Materials: Workgroup Report and Recommendations, Draft Report, Forthcoming FY2011.

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

EPA Office of Information Analysis and Access. Memorandum on the lifting of the materials dispersal moratorium, from Rick Martin, Acting Director of the Office of Information Access and Access, OEI, dated 06/08/2009 (http://intranet.epa.gov/librarynetwork/Memorandum_RickMartin_060809.html).

EPA Office of Administration and Resources Management. Digitization – Launching Phase II: summary and PowerPoint presentation from EPA National Library Network Annual Meeting, dated 10/28/2009 (<http://intranet.epa.gov/librarynetwork/annualreports/anmeet2009.html#digitization>).

EPA Office of Administration and Resources Management. Digitization Processes for EPA Libraries – Preparing for Phase II: summary and PowerPoint presentation from EPA National Library Network Annual Meeting, dated 10/28/2009 (<http://intranet.epa.gov/librarynetwork/annualreports/anmeet2009.html#training>).

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).

EPA. U.S. EPA Library Collections Digitization Process Report, dated 09/24/2007 (<http://www.epa.gov/nscep/DigitizationReport.pdf#zoom=100>).

LMI Government Consulting, for EPA. Digitization Assessment: A White Paper for the Environmental

Protection Agency, dated 03/2008

(<http://www.epa.gov/libraries/documents/DigitizationAssessmentStratusTeamMarch08.pdf>).

LMI Government Consulting, for EPA. Overview of Current Digitization Practices, dated 07/2007

(<http://www.epa.gov/libraries/documents/OverviewCurrentDigitizationPracticesLMIJuly07.pdf>).

Stratus Consulting, for EPA. Target User Accessibility Review: NSCEP/NEPIS – EPA’s Gateway to Free Digital and Paper Publications, dated 02/2008

(<http://www.epa.gov/libraries/documents/NEPISUserAccessibilityReviewStratusConsultingFeb08.pdf>).

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.

Best Available Copy: In the case where more than one copy of a document exists, the best available copy would be an original rather than a photocopy, or the copy in the best physical

condition.

Born Digital: A document that was created and exists only in digital format.

Call Number: Assigned by a cataloger, the call number is a unique number assigned to a book that gives its relative location in the library.

Cataloging: The process of creating entries for a catalog. In libraries, this usually includes bibliographic description, subject analysis, assignment of classification notation, and activities involved in physically preparing the item for the shelf, tasks usually performed under the supervision of a librarian trained as a cataloger.

Database: A large, regularly updated file of digitized information (bibliographic records, abstracts, full-text documents, directory entries, images, statistics, etc.) related to a specific subject or field, consisting of records of uniform format organized for ease and speed of search and retrieval and managed with the aid of database management system (DBMS) software. Content is usually created by the database producer. In the case of commercial databases, the content may be leased to one or more database vendors (Dialog, EBSCO, OCLC, etc.) that provide electronic access to the data after it has been converted to machine-readable form, usually online via the Internet, using proprietary search software. Most databases used in libraries are catalogs, periodical indexes, abstracting services, and full-text reference resources leased annually under licensing agreements that limit access to registered borrowers and library staff.

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

Documents Report: A list of library holdings that contains specific information about the items, including but not limited to the owning library, call number, OCLC number, title, publisher, author, and publication date.

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.

EPA Publication Number: An alphanumeric number assigned to official EPA publications. It groups publications by the Office or Division that publishes the work, the type of publication (report, fact sheet, CD-ROM, etc.), the year of publication, and by the order in which it fell in that year's publications for the Office or Division responsible. The EPA publication number is included in a searchable field in the cataloging record.

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.

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.

OCLC Number: See Online Computer Library Center Number.

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 Computer Library Center (OCLC) Number: A unique number assigned to the bibliographic record for a document by the Online Computer Library Center (OCLC).

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.

Originating Library: In the context of this document, the library from which hard copy documents are sent to be digitized.

Repository Library: A central place where library collections are stored and made accessible. EPA

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repository libraries collect and preserve EPA documents and other materials deemed of value to the EPA National Library Network.

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.

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-03. EPA Repository Library Management Procedures

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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