

INDIANA GUIDELINES FOR DISPOSAL OF U.S. GOVERNMENT DEPOSITORY DOCUMENTS

Approved by Indiana State Library, Indiana Federal Depository Libraries, and
Superintendent of Documents
Fall 2006

Indiana federal depository libraries have agreed to build a "light archive" of all U.S. government depository documents. The core of the archive currently resides in Indiana University's Auxillary Library Facility (ALF) and Government Information, Microforms & Statistical Services (GIMSS), Bloomington, Indiana, and the Indiana State Library, Indianapolis, Indiana. It has been determined that these libraries already contain close to 100% of federal depository documents distributed from 1976 to the present. The Indiana State Library, Indiana's Regional Federal Depository Library, has determined that Indiana selectives do not have to prepare disposal lists for federal depository documents issued from 1976 to date, with the stipulation that documents received from GPO within the last 5 years cannot be discarded (for exceptions, see section I). See section IV for the discarding of these documents. **In addition, Indiana federal depository libraries are encouraged to continue to offer through a disposal list any post-1975 document(s) that they consider historically significant or important to Indiana.**

Indiana federal depository libraries must continue to compile disposal lists for pre-1976 documents. See sections I -- IV.

- I. Depository documents for disposal must have been received on a shipping list dated five or more years prior to the date of the disposal request.

EXCEPTIONS:

- A. Depository documents issued less than five years prior to the date of the disposal request replaced by commercial microform may be included on the disposal list if appropriately designated (see section II, B5).
- B. Duplicate documents received by a depository library should be discarded without including them on a disposal list. But duplicate documents may be included on a disposal list only if appropriately designated (see section II, B6).
- C. Depository documents received but not selected as an item by a selective depository should be discarded without including them on a disposal list. But these non-depository documents may be included on a disposal list only if appropriately designated (see section II, B7).
- D. Depository documents listed in the various editions of the Superseded List may be discarded at the discretion of the library and should NOT be listed on a disposal list.
 1. Superseded List (Rev. Sept. 1996 [read p. vii-xi]
<http://www.access.gpo.gov/su_docs/fdlp/pubs/suplist/suplist.html>
and its updates issued in Administrative Notes Technical Supplement
the Dec. 1996 issue
<http://www.access.gpo.gov/su_docs/fdlp/pubs/techsup/ts123196.html#2> and
the June 1997 issue

<http://www.access.gpo.gov/su_docs/fdlp/pubs/techsup/ts063097.html#2>

2. Superseded List (Rev. Apr. 2002)

<http://www.access.gpo.gov/su_docs/fdlp/pubs/suplist/suplist02.pdf>

read, "Understanding the Retention Instructions"

<http://www.access.gpo.gov/su_docs/fdlp/pubs/suplist/index.html#understnding>

E. FDLP Guidelines on Substituting Electronic for Tangible Versions of Depository Publications <http://www.access.gpo.gov/su_docs/fdlp/coll-dev/subguide.html>

II. Compile a disposal list in one of three formats: Microsoft Excel spreadsheet document (preferred); an HTML web document; or a Microsoft Word document. Arrange the disposal list in shelflist order by Superintendent of Documents classification number.

A. The first page must indicate the following:

1. Library name.
2. Depository library number.
3. A specific date and/or number assigned to uniquely identify each separate list.

B. For each title, the following information is required:

1. Complete Superintendent of Documents classification number in one string. Always include the SuDoc stem with the Cutter.

Examples: I 1.98:Oi 5/11/draft/map 1

I 1.98:Oi 6/2

I 1.98:Oi 7/6/final

2. For serial publications:

- a. Serial title.
- b. Specific holdings - volumes, issue numberings, and dates.
- c. Indication of serial issues commercially bound by the selective depository - **(bd)**

3. For monograph publications:

- a. Title and date of publication

4. Specify format of title/issues if other than paper -- microfiche **(mf)**; disc **(CD/DVD)**; diskette **(dk)**

ALTERNATIVE PREFERRED BY THE REGIONAL DEPOSITORY:

List all documents which are of microfiche format or electronic format (i.e. CD/DVD and diskette) as separate disposal lists.

Prominently indicate that the entire list is all microfiche format or electronic format.

5. Specify print documents less than five years from date received on a shipping list which are being replaced by microform as the official federal document copy as replacements - **(repl)**
6. Specify duplicate documents less than five years from date received on a shipping list as duplicates (see section I, B) - **(dup)**
7. Specify documents erroneously received and not selected as an item number by your depository if less than 5 years from the date received on a shipping list, or documents received by other means (agency mailing lists, gifts/donations) rather than through the Federal Depository Library Program as non-depository (see section I, C) - **(nd)**

8. Specify documents being substituted for the official electronic version (see section I, E) - **(sub)**

For a disposal list created as an HTML document on your library's web server, post an e-mail message to the Indiana Federal Depository Libraries Listserv [fdlpinl@list.statelib.lib.in.us] identifying the electronic list(s) [see section II, A3] and specify the URL address on the library's web site of the HTML disposal list.

For a disposal list created as a Microsoft Word document or as an Excel spreadsheet, send an e-mail message to the Indiana Federal Depository Libraries Listserv [fdlpinl@list.statelib.lib.in.us] indicating that you have a disposal list created as an attachment to your e-mail message.

- III. The regional depository will make a print copy of the disposal list. If a disposal list has documents wanted by the regional, the disposal list will be marked indicating the claims and returned by postal mail with an official letter. Claims by the regional on a disposal list must be filled first before claims by other libraries from the same list. If there are no documents on a disposal list wanted by the regional, then only an official letter stating no claims for that list will be sent by postal mail and claims by other libraries from that list can be filled. **No documents may be discarded until the Regional Depository has granted formal permission by postal letter. No documents appearing on a disposal list may be distributed to other libraries until after the requests of the Regional Depository have been filled first.** The disposing library is responsible for postal charges when shipping material to the Regional Depository. Other libraries receiving documents from a disposal list will be responsible for shipping charges, unless other arrangements are made with the disposing library.

IMPORTANT: If the disposal list does not follow the criteria as specified in these Guidelines, the Regional Depository will invalidate it. For an invalidated list, a corrected list must be created and notification of it announced in a new e-mail message posted again to the Indiana Federal Depository Libraries Listserv [fdlpinl@list.statelib.lib.in.us] with the appropriate URL to the corrected list or with the corrected list as an attachment.

- IV. With permission granted by the Regional Depository, the selective depository is authorized to dispose of the remaining documents by any 4 of the following methods:
 - A. Post disposal list on the national "Needs and Offers List"
<http://www.access.gpo.gov/su_docs/fdlp/tools/needs_of/index.html>.
This is not required by GPO, but strongly advocated.
 - B. Offer free of charge to private citizens.
 - C. Sell as second-hand material. However, as all depository publications remain the property of the U.S. government, proceeds from the sale of the documents, accompanied by a letter of explanation, must be sent to the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.
 - D. Destroy.

Revised Friday, October 24, 2006