FOREWORD

The Division of Marine Fisheries (DMF) Library Subcommittee was created in June 2008. The original charge consisted of:

1. Sort retained material currently housed in the hallway and library office. Purge what is not needed and only retain items truly needed.
2. Clean out the library room except for one bookshelf.
3. Devise a library tracking system for retained material.
4. Incorporate the DMF's produced reports within the library.
5. Nominate a Library Subcommittee Chair and list their role and responsibilities along with all section's and staff's roles and responsibilities in regards to the library.
6. Revise record retention schedule for the DMF.

Version 1.0 of the Standard Operating Procedure (SOP) was finalized in June 2010. The Subcommittee finished items 1, 2 and 3 of the original charge.

In June 2012, the Library Subcommittee was reconvened and charged with the following tasks:

1. Complete items from original charge.
2. Update and finalize the SOP and implement current process (update publications list (citations), complete tracking database, etc.).
3. Document and resolve electronic housing/LAN space issues, if any.
4. Discuss housing of documents for public transparency (web) to help resolve issues.
5. Separate the two existing lists of publications; those created by DMF and those written by other sources.
6. Create a way to store the reports that are presently stored on discs.
7. Update the record retention schedule and appoint someone to be in charge.

This document meets tasks 3, 4 and 5 of the 2008 charge and tasks 2, 3, 4, 5, and 6 of the 2012 charge. The Record Retention Schedule will be addressed under a separate SOP.
1.0 Purpose

The Library Subcommittee is under the Biological Review Team (BRT) and maintains the North Carolina Division of Marine Fisheries (DMF) Publications Library on the State Publications Library’s website through the State Library of North Carolina. This Publications Library is a tool for DMF staff and the public to search all DMF-produced documents. Documents in digital formats are currently available. The Library Subcommittee will gradually be adding historical documents until the library is complete. The Library Subcommittee will also maintain a “Publications List” of document citations organized by decade and year on the DMF’s intranet, which will aid staff in locating and citing documents in the future. This Standard Operating Procedure (SOP) was developed to provide standards and procedures for the submission, cataloging, and acquisition of DMF publications from the Publications Library. This document guides Library Subcommittee members in the standards and procedures for housing and cataloging electronic documents, and guides all DMF staff in the standards for document submission and the processes for locating and acquiring documents that are included in the library.

Housing finalized documents within the Library has a two-prong approach:

1. Catalog the documents and
2. Store the documents electronically for staff and public use.

This SOP is housed on the DMF’s Local Area Network (LAN) on the DMF shared drive in the BRT Library Subcommittee folder in Word document form and on the library shared drive in PDF form.

2.0 Terminology

For the purposes of this SOP, various terminologies used throughout the document are defined as:

- **Database** – one searchable electronic file for staff that contains all DMF documents/document updates
- **Document** – a final publication with a release date. This definition includes other terms such as “report” and “paper”
- **Draft** – a non-final document that is not included in the database
- **Publications Library** – The Publications Library is a collection of documents produced by DMF staff and important to its mission housed online at [http://portal.ncdenr.org/web/mf/dmf-library-search](http://portal.ncdenr.org/web/mf/dmf-library-search)
- **Update** – a final document that is a change to a previous document already included in the database. This definition includes other terms such as “revision” and “version”
- **Serial** – a document that is published as part of a series

3.0 DMF Responsibilities

It is the responsibility of all staff within the DMF to comply with the standards and procedures set forth in this SOP. The section chiefs ensure all program managers and supervisors are aware and trained on these standards. Program managers and supervisors ensure all staff that produce documents important to the mission of the DMF are trained and abide by these standards. The Publications Library is only beneficial if staff follow the SOP (see Section 11.0 for further information regarding staff training). Authors are responsible for submitting their final documents and document updates to the Library Subcommittee Chair using the template provided on the DMF Intranet:
http://portal.ncdenr.org/web/mf/inside-fisheries. The Library Subcommittee Chair is the central contact person for the Publications Library. The subcommittee adheres to the Publications Library SOP and maintains the library materials for staff and public use.
Table 1. A summary table of the responsibilities for all DMF staff regarding the DMF Publications Library.

<table>
<thead>
<tr>
<th>Responsible Person</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Library Subcommittee Chair</td>
<td>· Serve as the Chair of the DMF Publications Library (central contact person)&lt;br&gt;· Receive library submissions, cataloging and submitting for inclusion in the digital library following the guidelines in SOP&lt;br&gt;· Bring forward inclusion justifications from staff to the subcommittee and BRT for decisions regarding document disposition&lt;br&gt;· Bring forward library suggestions from staff and the public to the subcommittee for approval and implementation&lt;br&gt;· Ensure staff are notified in a timely manner of the existence of new documents&lt;br&gt;· Serve as the link between employees/public/internet ensuring quality control of the Publications Library/Library materials</td>
</tr>
<tr>
<td>Library Subcommittee Members</td>
<td>· Attend Library Subcommittee meetings. If unable to attend, ensure section is otherwise represented at all meetings&lt;br&gt;· Complete assignments and responsibilities within the given timeframe. If unable to ensure completion, appoint a proxy&lt;br&gt;· Meet at least annually to review this SOP and training materials to identify deficiencies and areas for improvement&lt;br&gt;· Enact the Publications Library SOP&lt;br&gt;· Maintain the library materials for staff and public use&lt;br&gt;· Forward any concerns to the subcommittee chairperson&lt;br&gt;· Convey Library Subcommittee information to your section</td>
</tr>
<tr>
<td>Biological Review Team</td>
<td>· Review Library Subcommittee recommendations. In cases of disagreement, provide the final decision&lt;br&gt;· Subcommittees convey Library Subcommittee information to your section</td>
</tr>
<tr>
<td>Deputy Director</td>
<td>· Provide guidance on library operations to the chair and the subcommittee</td>
</tr>
<tr>
<td>Section Chiefs</td>
<td>· Ensure all program managers and supervisors are aware and trained on these standards</td>
</tr>
<tr>
<td>Supervisors</td>
<td>· Ensure all staff that produce documents important to the mission of the DMF are trained on and abide by these standards</td>
</tr>
<tr>
<td>All Employees</td>
<td>· Comply with the standards and procedures set forth within this SOP&lt;br&gt;· Authors are responsible for submitting documents to the Library Chair following the guidelines in Section 8.0&lt;br&gt;· Submit inclusion justification or request clarity from the Library Chair for documents not listed in Section 4.0&lt;br&gt;· Use and provide feedback on the Publications Library and this SOP as necessary and requested by the subcommittee</td>
</tr>
</tbody>
</table>


4.0 Inclusion Guidelines

All documents produced by DMF staff and important to the DMF mission will be made available to the public through the Publications Library. Documents will be put into one of two categories regarding location and availability. This is dependent upon whether the document contains confidential information, intended use of the document, and existing framework of storage for documents on DMF’s shared drive. The categories with intended documents for inclusion are:

1. **Internal and External Documents** - documents which are made available to the public through the State Library via PDF will also be made available internally as MS Word documents in the internal Publications Library
   - Federal grant/contract reports
   - Coastal Recreational Fishing License grant/contract reports
   - Coastal Habitat Protection Plans (CHPP), Implementation Plans and Annual Reports
   - Strategic Habitat Area (SHA) assessments and related documents
   - Pamlico Sound Survey cruise reports
   - Growing Area Sanitary Survey reports
   - Fish Dealer Reports
   - Fishery Characterization Reports
   - Landings and Harvest Bulletins
   - Annual Fisheries Statistics Report (“Big Book”)
   - Socioeconomic Survey reports
   - Education/Outreach annual reports
   - Shellfish Rehabilitation Program annual report to Joint Legislative Committee on Seafood and Aquaculture
   - Reports to any Legislative Committees
   - Incidental Take Permit (ITP) applications and compliance reports (i.e., Pamlico Sound Gill Net Restricted Area annual compliance reports)
   - Fishery Management Plans (FMPs)
   - Stock assessments
   - Marine Fisheries Commission (MFC) meeting summaries
     - [http://portal.ncdenr.org/web/mf/mfc-meetings](http://portal.ncdenr.org/web/mf/mfc-meetings)
   - Public information/education materials (i.e., Anglers’ Guide, pamphlets)
   - Historical documents/History of DMF

2. **Internal Other Shared** – documents intended for internal use only containing confidential information and are already organized and housed on the shared drive (i.e., RAT, BRT, SSR, FMP). Some may have confidential information and would need to be checked if a request is made (i.e., compliance reports)
• Biological Review Team (BRT) – DMF shared drive: N:\BRT
  i. Annual FMP updates – DMF shared drive: N:\BRT…
    a) http://portal.ncdenr.org/web/mf/fmps-under-development
  ii. Research priorities
  iii. Stock Status Overview Reports (SSR) – DMF shared drive: N:\BRT…
    b) http://portal.ncdenr.org/web/mf/stock-status-overview

• Rules Advisory Team (RAT) – DMF shared drive: N:\Rules Advisory Team
  i. Rules review issue and information papers that are not included in other documents found in this list

• Fisheries Information Management and Support System (FIMMS) – DMF shared drive: N:\FIMSS

• Inter-jurisdictional species (IJA) Compliance Reports – FMP shared drive: U:\interjurisdictional fisheries
  i. FMP compliance reports (i.e., Atlantic States Marine Fisheries Commission (ASMFC) compliance reports)
    a) http://www.asmfc.org/

• Standard Operating Procedures (SOPs) - DMF shared drive: N:\BRT…

• Documents posted on Inside Fisheries

If a document produced by staff is not listed in this section, the author is to send the document to the Library Subcommittee Chair (SVC_DENR.DMF.Library@ncdenr.gov) with justification for its inclusion. The Library Subcommittee Chair will bring the document to the Library Subcommittee and to BRT for a decision regarding the document’s disposition. If the author is unclear as to whether the document should be included in the library, the author is to send the document to the Library Subcommittee Chair for clarity.

5.0 Library Shared Drive

The Library Subcommittee maintains the library shared drive (J:\) on the DMF’s LAN. All documents relating to the DMF Digital Library are contained within the folder labeled “Publications”. Included within this folder are the following subfolders that related directly to document management:

1. Final Documents – This folder includes all documents that have been fully catalogued and either have already been submitted to the state library for inclusion in the digital library, or are prepared for submission. Within this folder, these publications are organized by decade and year. Document files contained within this folder are named using the naming guidelines in Section 8.0

2. Not Processed – This folder includes newly submitted documents that have not yet been fully catalogued, and have not been prepared for submission to the state library.

6.0 Publications Library

The DMF Publications Library is maintained on the State Library of North Carolina Website, and is maintained cooperatively by the Library Subcommittee and by staff within the Department of Natural and Cultural Resources. The Publications Library is a tool available to the public allowing them to search all documents in the database. Documents are uploaded to the Publications Library as they are received.
6.1 Procedure

When a submitted document is received by the Library Subcommittee Chair via email, the Library Subcommittee Chair enters the document information into the document catalogue and stores it in the “Not Processed” folder discussed above. The Library Chair completes their portion of the Library Tracking Table (N:\BRT\Review Process & Tracking) and ensures the table in completed. From there, the Library Subcommittee Chair ensures the file is named properly, using the naming guidelines found in Section 8.0, saves the file in PDF format, moves the appropriately named, formatted, and catalogued file into the appropriate location in the “Final Documents” folder, and conveys the document to the State Library for inclusion in the digital library.

6.2 Procedure Flow Chart

Staff
- Publishes their final document
- Completes tracking table on shared drive: N:\BRT\Review Process & Tracking
- Submits document to Library Chair through submission email available on Inside Fisheries including link to tracking table.

Library Subcommittee Chair
- Receives submission email
- Catalogues and formats the document, and stores it in the appropriate folder on the shared drive
- Delivers the appropriately catalogued and formatted document to the State Library
- Complete tracking table on shared drive: N:\BRT\Review Process & Tracking

7.0 Document Submission

7.1 Format

Final DMF-produced documents are to be submitted to the Library as editable Microsoft Word files to allow for proper security measures to be taken before the document is made available to staff and the public. Older documents may be submitted in PDF format. The documents are to follow DMF formatting standards as determined by the DMF Editorial Guidelines, located on the DMF Inside Fisheries website (http://portal.ncdenr.org/web/mf/inside-fisheries), under “Fisheries Management and Rules”. Examples of documents include federal grant reports, Coastal Recreational Fishing License (CRFL) reports, fishery management plans (FMPs), and issue papers (FMP and rules review). Other documents such as Landings Bulletins, Dealer Reports, and the Big Book should follow the AP style.
7.2 Responsibility

The DMF staff is responsible for submitting newly published documents and all final document updates to the Library Subcommittee Chair for inclusion in the DMF Library within two weeks of completion. The Library Subcommittee Chair and Library Subcommittee ensure documents are uploaded in a timely manner. Staff are responsible for completing the tracking table located on the shared drive (N:\BRT\Review Process & Tracking) and including the link on the forwarded email.

7.3 Procedure

DMF staff publishing a new document or a document revision are to submit the final product to the Library Subcommittee Chair via email at: mailto:SVC_DENR.DMF.Library copying their direct supervisor. Staff are responsible for completing the tracking table located on the shared drive (N:\BRT\Review Process & Tracking) and including the link on the forwarded email.

1. A link to the submission email can be found on the DMF Inside Fisheries website under “Other Links”. The submitting author is to follow the submission guidelines within the email template and as explained below. When filling out the email template, refer to the citation format for author name(s), year published, title, report type, awarding agency, grant number, agency, division, city, state and # of pages. A submission email containing examples and explanations is below:
   i. Author Name(s): Last name, first and second initials, then first and second initial and last name of up to three authors, or DMF
   ii. Title: As it reads at the top of the cover page of the document. Note that in titles the only words that should be capitalized are the first word and other words that would be capitalized in ordinary text
   iii. Report Type: Annual Report, Final Report, or other type of report as appropriate. Awarding Agency: Name of Federal, State, or private organization who provided funding support. Capitalize terms such as “Final Report” and “Completion Report” that pertain to final, published documents; do not capitalize terms such as “preliminary report” and “draft report,” which pertain to what is essentially gray literature. Where relevant, provide project numbers
   iv. Grant #: As indicated in funding awards
   v. # of Pages: Total number of pages including cover page and all appendices. Written in the format “pp. #”
   vi. Is this a new publication or a revision to an existing document? Respond ‘new’ or ‘revision’
   vii. Does this document replace a prior submission? Respond ‘yes’ or ‘no’
   viii. Is this document a standalone report or part of a recurring series? Respond ‘non-serial’ or ‘serial’
   ix. Document Description: Provide a concise 2-3 sentence description of the document contents

2. Once submitted, document handling procedures are defined in Section 6.1

8.0 Naming Document Files/Citation Format Guidance

Single Author:

Two Authors:


Three or more Authors:


Division as Author:


9.0 Historical Documents and Paper Copy Disposition

This section is a work in progress.

10.0 Training, Implementation, and Compliance

All DMF staff are to be trained on the library process through email distribution and review of the SOP during section and program staff meetings. This SOP is to be distributed to all new employees during program and section orientation.

Compliance guidelines are a work in progress.
The Library Subcommittee will meet annually to review this SOP, the library shared drive, the database and the Publications Library to identify deficiencies and areas for improvement. Any deficiencies will be corrected as updates to this SOP, tracked in Appendix 1.

**DOCUMENT RETRIEVAL**

DMF staff can search for documents using the DMF Publications Library website at: [http://portal.nctenr.org/web/mf/dmf-library-search](http://portal.nctenr.org/web/mf/dmf-library-search)

A list of keywords is located at: [N:\BRT\SubComs\Library\DMF Publications Library\SOPs\Keywords.docx](N:\BRT\SubComs\Library\DMF Publications Library\SOPs\Keywords.docx).

Documents are being populated on this site by the Library Subcommittee. Send a request to the Library Subcommittee Chair via email – andrew.haines@ncdenr.gov - if a Word version of a document or document citation is needed.
## APPENDIX 1: SOP UPDATES

<table>
<thead>
<tr>
<th>Version</th>
<th>Date</th>
<th>Changes Made</th>
</tr>
</thead>
<tbody>
<tr>
<td>V.1.0</td>
<td>June 2010</td>
<td>Original effective date</td>
</tr>
<tr>
<td>V.2.0</td>
<td>February 2014</td>
<td>Overall updates made to reflect new library goals and procedures</td>
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<tr>
<td>V.2.1</td>
<td>March 2014</td>
<td>Updates to Appendix 1</td>
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<td>V.2.2</td>
<td>June 2017</td>
<td>Updates document list; formatted correctly</td>
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<td>V.2.3</td>
<td>September 2017</td>
<td>Updates document list; formatted correctly</td>
</tr>
<tr>
<td>V.2.4</td>
<td>November 2017</td>
<td>Updates for document tracking information</td>
</tr>
<tr>
<td>V.2.5</td>
<td>December 2017</td>
<td>Revisions by BRT incorporated</td>
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