

Arkansas State Library

State Documents Depository Program Guidelines

May 29, 2023



FOREWORD

By law, Arkansas state agencies and state-supported institutions of higher learning are required to deposit their documents and publications to the Arkansas State Library's State Documents Depository program.

This manual contains the relevant rule and state statutes, guidelines, procedures and forms that govern the depository program. The manual is intended for use by state government liaisons and depository library staff.

These guidelines are effective as of May 29, 2023 pursuant to [Arkansas Rule 005.06.22-002](#), Arkansas State Library Rules Governing the State and Federal Documents Depository Programs.

Direct questions or suggestions concerning the manual or the State Documents Depository program to:

Manager of Digital Services
Arkansas State Library
900 West Capitol Ave., Suite 100
Little Rock, AR 72201
Phone: (501) 682-2550
aslib-govdocs@ade.arkansas.gov

CONTENTS

Program Introduction	<u>2</u>
State Government Entities and State-Supported Institutions of Higher Learning	
Agency Liaisons to the Depository.....	<u>5</u>
How to Submit Documents to the Arkansas State Library	<u>7</u>
Specific Depository Requirements.....	<u>8</u>
for State Agencies	<u>10</u>
for Academic Institutions.....	<u>13</u>
Waivers and Exemptions	<u>16</u>
How to Submit Rules to the Arkansas State Library	<u>18</u>
State Depository Libraries	
Eligibility for depository status	<u>20</u>
Designation Types.....	<u>20</u>
Responsibilities	<u>21</u>
Training and Consultations for Depository Staff	<u>22</u>
Document Distribution to Depository Libraries.....	<u>23</u>
Procedures for Depository Libraries.....	<u>24</u>
Receipt of Documents and Shipping Lists.....	<u>24</u>
Collection Management and Weeding	<u>25</u>
Changing designation.....	<u>26</u>
Withdrawal from Program.....	<u>27</u>
Appendices:	
Enabling Statutes	<u>28</u>
Rule	<u>29</u>
Collection Development Policy for Government Documents	<u>40</u>

INTRODUCTION TO THE ARKANSAS STATE DOCUMENTS DEPOSITORY PROGRAM

The Arkansas State Documents Depository Program systematically collects documents and publications issued by state government into a central, permanent, and publicly accessible collection.

The State Library distributes additional copies of documents to depository libraries across the state through its State and Local Government Publications Clearinghouse program.

ESSENTIAL COMPONENTS OF THE PROGRAM:

1. Submission of documents by state entities and state-supported educational institutions of higher learning;
2. Maintenance and retention of state document and publications in a permanent central collection;
3. Availability of documents at the local community level through the distribution of copies to designated depository libraries;
4. Visibility granted to items within the document collections through the practice of cataloging and classification, including public accessibility to the collection through the library's online catalog; and
5. Providing reference assistance to facilitate the retrieval and use of state government information for the public.

When a state entity or state-supported educational institution deposits copies of its publications, it participates in the program. Documents are the heart of the program, and the contributions by state government and state-supported institutions of higher learning are crucial to its success.

The value of the Arkansas Documents Depository program grows over time, and increases the more state agencies deposit their documents with the Arkansas State Library. By working together, Arkansas state agencies, the Arkansas State Library, and the depository libraries ensure all citizens of Arkansas have access to the wealth of information published by state government.

Documents submitted to the Depository go through a series of steps to optimize access to the information contained within the materials. These steps include:

IDENTIFICATION AND CLASSIFICATION

A classification number is assigned for each document submitted to the Depository, using the Arkansas Documents Classification scheme developed by the Arkansas State Library.

The Arkansas Documents Classification scheme is provenance-based, and classification numbers reflect the issuing entity, document type, and publication year. Classification numbers facilitate retrieval of documents from the depository collection.

CATALOGING

A bibliographic record is created for each document submitted to the Depository. Records include the document's title, issuing entity, personal author, publication date, classification number, unique resource locator, and other fields relevant to a specific item.

All bibliographic records are accessible and searchable from the State Library's online catalog.

INGEST OF DIGITAL DOCUMENTS

After cataloging, digital documents are uploaded to the Depository's online digital repository, the Arkansas Documents Digital Collections. Digital items are cross-cataloged, and appear in both the repository's public interface and the library's online catalog.

All digital documents are freely accessible by the public, and may be searched and downloaded from the online interface.

PERMANENT RETENTION

A depository copy from all documents submitted is maintained in the central, permanent Arkansas Documents collection at the Arkansas State Library. Depository items do not circulate.

LOAN AND REFERENCE SERVICES

Additional copies of a title in the Arkansas Documents collection are available for circulation and interlibrary loan. If an item that would normally circulate is deemed unsuitable for lending or handling due to its condition, a duplication of the item may be provided as an alternative.

The reference staff of the library offer expert service in the retrieval and use of state documents. The staff welcomes requests for reference assistance from both state government entities and the public.

DISTRIBUTION

When sufficient copies of a publication are submitted, the documents are sent to designated depository libraries across the state. The State and Local Government Publications Clearinghouse program ships the documents at regular intervals.

Shipments include a Shipping List that denotes the title, classification number, and reference to the catalog record for all tangible and digital documents. Shipping Lists are published to the State Library website and available in the Arkansas Documents Digital Collections.

AGENCY LIAISONS TO THE DEPOSITORY

Communication is often necessary between the Arkansas State Library and each state agency, board, commission and state-supported institution of higher learning concerning the deposit of documents.

Typically, most communications involve questions on which documents to deposit, how many copies of a title to send, requests for additional details about a specific title, or questions about an agency's organization or background.

DESIGNATING AN AGENCY LIAISON

To facilitate communication for the convenience of both state agencies and the Arkansas State Library, agency directors are asked to designate a liaison to serve as the primary contact for their institution to the State Documents Depository. [Designation forms](#) are available on the Arkansas State Library's website.

The choice of who to designate should be based on convenience to the agency. The liaison should be someone familiar with an agency's organization and all of its publications. An agency may also choose to designate more than one liaison, which may be more efficient for larger agencies. Each department, division or internal unit can designate its own liaison.

Agencies should notify the Arkansas State Library whenever agency changes its designated liaison. Changes can be communicated by using the online designation form to provide contact information for the new liaison.

RESPONSIBILITIES OF AN AGENCY LIAISON:

- Submit print copies of documents to the Arkansas State Library, and ensure that the appropriate number of copies are included
- Send files for digital documents to the Arkansas State Library, and the URL where published

- Ensure any required certification or submissions forms are completed by appropriate agency staff
- Contact the Arkansas State Library with questions about whether certain materials should be sent to the depository
- Assist the Arkansas State Library in resolving any problem concerning the deposit of that agency's documents
- Assist Arkansas State Library with referrals within the agency to facilitate reference requests made by the public
- Respond to claims for missing copies or titles, and resolve any issues concerning the status of a specific title such as discrepancies in frequency or title changes, etc.

TRAINING

Orientation sessions and individualized training can be provided by the Arkansas State Library upon request. Agency liaisons may contact Lanette Meyer, the Senior Librarian of Digital Services, via email at lanette.meyer@ade.arkansas.gov to arrange a session.

Training sessions can be held virtually, in person at the agency's location, or onsite at the Arkansas State Library.

Tours of the Arkansas State Library's Documents collection can also be arranged upon request.

CONSULTATIONS

Liaisons are encouraged to contact Digital Services staff whenever they have questions concerning the deposit of documents.

Liaisons are welcome to contact Digital Services staff with questions about the library's collections, available services or for reference assistance.

HOW TO SUBMIT DOCUMENTS TO THE ARKANSAS STATE LIBRARY

Agencies should send publications to the Arkansas State Library as close to the time of the document's release as possible.

All [forms](#) required for rule submission are available on the Arkansas State Library's website.

TANGIBLE DOCUMENTS

Print copies may be deposited at the Arkansas State Library in the manner most convenient to the state agency or academic institution: brought in person, shipped, or via messenger. Where available, delivery to the library via the State Courier Service is recommended.

Print documents may be submitted to:

**Digital Services
Arkansas State Library
900 W Capitol, Suite 100
Little Rock, AR 72201**

DIGITAL DOCUMENTS

The Arkansas State Library must receive a copy of the digital file for documents published and distributed exclusively in digital format, in addition to the URL where it the document is published on the Internet.

Digital files and URLs can be sent to the Arkansas State Library via email at:

aslib-govdocs@ade.arkansas.gov.

Once submitted, digital documents are uploaded to the library's Arkansas Documents Digital Collection, where they may be freely accessed and downloaded by the public. Arkansas state depository libraries are then notified of a digital document's availability in the online repository.

SPECIFIC DEPOSITORY REQUIREMENTS FOR STATE AGENCIES AND STATE-SUPPORTED INSTITUTIONS OF HIGHER LEARNING

A.C.A. §13-2-212 requires Arkansas state agencies, boards and commissions, state supported colleges and universities, to deposit copies of their documents with the official State Documents Depository at the Arkansas State Library.

The State Documents Depository accepts both current and historical state documents. Agencies must send documents to the Arkansas State Library (ASL) at the release of the first printing, or when published to an agency's website.

Per A.C.A. § 13-2-201 (a), state and local publications include any document issued or printed by any state agency or local government which may be released for distribution. Issued or printed means all forms of printing and duplication or distribution, including digital formats.

NUMBER OF COPIES TO SUBMIT

The number of copies required by the Arkansas State Library depends primarily on the format in which a publication is published and distributed.

DIGITAL FORMAT

When a document is published and distributed exclusively in digital format, the Arkansas State Library must receive a copy of the digital file and the URL where it is published on the Internet.

All digital submissions can be sent to the Arkansas State Library via e-mail at:

aslib-govdocs@ade.arkansas.gov.

Digital documents will be uploaded to the library's Arkansas Documents Digital Collection, where they may be freely accessed and downloaded by the public.

DIGITAL & PRINT FORMAT

If a document is published and distributed in both print and digital formats, the Arkansas State Library must receive at least 4 copies of the print version, in addition to a copy of the digital file and the URL at which it is published.

PRINT FORMAT

The number of copies to submit of documents published and distributed exclusively in print format depends on the document type. Review the following guidelines to determine how many copies to deposit with the Arkansas State Library.

Standard Depository Requirement (SDR)

Documents distributed to Full and Select
depositories 18 copies

Limited Deposit Requirement (LDR)

Documents distributed to Full depositories 8 copies

Waiver

Documents included only in Arkansas State Library
collections 4 copies

Exemption

No deposit is required..... 0 copies

There are differences in the document types collected between state agencies and state-supported institutions of higher learning.

The types of documents falling under SDR, LDR, Waivers and Exemptions depository requirements are noted in the following sections based on institution type.

TYPES OF PRINT DOCUMENTS TO SEND: STATE AGENCIES

ANNUAL AND BIENNIAL REPORTS

Per A.C.A. § 21-7-402 (b), whenever state laws require any state agency, department, board, or commission to prepare and publish an annual or biennial report, fifty copies should be filed with the Arkansas State Library.

Per A.C.A. § 21-7-402 (c)(1), fulfilling this requirement constitutes sufficient distribution of the reports in lieu of other distribution requirements which may be prescribed by law. A deposit of 20 copies of annual/biennial reports with Mullins Library at the University of Arkansas is still required.

The legislative intent is to allow the Arkansas State Library to provide annual and biennial reports to the General Assembly or other public officials who may be designated by law to receive them.

ALL OTHER DOCUMENT TYPES

1. Annual or biennial reports*	18
2. Budgets	
a. Annual operating budget	8
b. Biennial appropriations request	EXEMPT
3. Conference / Training / Workshop / Seminar materials	
a. Advertising and registration information	EXEMPT
b. Published proceeding	8
c. Training manuals used in workshops, seminars or conferences (includes only standalone materials that can be used without accompanying lecture or visual aids).....	8
4. Correspondence, intraoffice or interoffice agency communications	EXEMPT

5. Directories or rosters

- a. Directories of facilities 18
- b. Directories of services..... 18
- c. Directories of personnel 18
- d. Rosters 18

6. Financial reports

- a. Annual financial report or statement (includes those issued by agencies which do not publish an annual report or those issued by agencies that produce annual reports not containing financial information) 8
- b. Monthly / Quarterly financial reports EXEMPT

7. Information publications / Reports of research

- a. Drafts to plans and reports published for comment..... 4
- b. Guides 8
- c. Manuals or handbooks 8
- d. Maps..... 8 (18 may apply)
- e. Pamphlets and brochures about an agency, its services, or a subject of concern to it..... 8
- f. Reports..... 8
- g. Series publications 8
- h. State Plans..... 8
- i. Statistical compilations 8 (18 may apply)

8. Law / Rules / Licensing standards 8**

- a. Laws published as separates..... 8
- b. Rules published as separates 8
- c. Compilations of laws on a topic..... 18
- d. Licensing standards..... 8

9. Lists of publications

- a. Bibliographies..... 8
- b. Catalogs..... 18
- c. Publication lists 18

10. Minutes of governing board meetings 4

11. Periodicals

- a. Magazines 8 (18 may apply)
- b. Newsletters / Newspapers..... 8
- c. News releases 4

12. Special Publications

- a. Grant proposals, specifications, bids, etc. EXEMPT
- b. Grant reports 4
- c. Publications financed by the sale of the publication*** 4
- d. Reprints (reissued in the same format with no changes) EXEMPT
- e. Revisions Same requirement as original document
- f. Updates, transmittal Same requirement as original document

**For reports otherwise exempt from A.C.A. § 21-7-402.*

**Specifically excluded by A.C.A. § 13-2-201 (a) (1)-(3) are the Acts of Arkansas, the Arkansas Supreme Court Reports, and the Arkansas Statutes. Per A.C.A. § 13-2-201 (b), one copy of each is to be deposited with the Arkansas State Library.*

****Publications offered for sale by the Secretary of State’s office are specifically excluded by A.C.A. § 13-2-201 (a)(4). Per A.C.A. § 13-2-201 (b), one copy of each is to be deposited with the Arkansas State Library.*

TYPES OF PRINT DOCUMENTS TO SEND: STATE-SUPPORTED INSTITUTIONS OF HIGHER LEARNING

ANNUAL AND BIENNIAL REPORTS

Per A.C.A. § 21-7-402 (b), whenever state laws require any state agency, department, board, or commission to prepare and publish an annual or biennial report, fifty copies should be filed with the Arkansas State Library.

Per A.C.A. § 21-7-402 (c)(1), fulfilling this requirement constitutes sufficient distribution of the reports in lieu of other distribution requirements which may be prescribed by law. A deposit of 20 copies of annual/biennial reports with Mullins Library at the University of Arkansas is still required.

The legislative intent is to allow the Arkansas State Library to provide annual and biennial reports to the General Assembly or other public officials who may be designated by law to receive them.

ALL OTHER DOCUMENT TYPES

1. Alumni Materials

- a. Pamphlets and brochures EXEMPT
- b. Magazines 4

2. Annual or biennial reports*

- a. Annual report 18
- b. Reports from units within the institution 8

3. Budgets

- a. Annual operating budget 8
- b. Biennial appropriations request EXEMPT

4. Catalogs

- a. Institution-wide catalogs 18

b. Individual department catalogs (*An exemption is granted only to those catalogs which duplicate portions of an institution-wide catalog).....	EXEMPT* or 18
5. Conference / training /workshop / seminar materials	
a. Advertising and registration information	EXEMPT
b. Published proceeding	18
c. Training manuals used in workshops, seminars or conferences (includes only those materials which can stand-alone; i.e. can be used without accompanying lecture or visual aids)	8
6. Correspondence, intraoffice or interoffice agency communications	EXEMPT
7. Development funds materials	EXEMPT
8. Directories or rosters	
a. Directories of facilities or services	18
b. Personnel directories	18
c. Telephone directories	18
9. Financial Reports	
a. Annual financial report	8
b. Monthly / quarterly financial reports.....	EXEMPT
10. Lists of publications	
a. Bibliographies.....	18
b. Catalogs.....	18
c. Publications.....	18
11. Minutes of governing board meetings	4
12. Miscellaneous publications	
a. Bulletin board materials; notices designed to announce, describe, advertise, or register persons for specific events.....	EXEMPT
b. Calendars and schedules of athletic events, rosters of team listings or athletic records.....	EXEMPT

c. Drafts of plans and reports published for comment	4
d. Handbooks, manuals, and guides	8
e. Maps.....	8
f. Pamphlets and brochures, except those in a series	EXEMPT
g. Recruitment material.....	EXEMPT
h. Reports of research.....	8
i. Schedules, invitations, commencement program.....	EXEMPT
j. Series publications	8
k. Statistical compilations.....	8

13. Periodicals

a. Magazines	8
b. Newspapers and newsletters intended for out-of-house distribution.....	8
c. News releases	4

14. Student publications

a. Student newspapers	EXEMPT
b. Student magazines.....	EXEMPT
c. Yearbooks.....	EXEMPT
d. Student handbook (describing service, policies, and practices of the college relating to students).....	18

15. Special publications

a. Grant proposals, specifications, bids, etc.	EXEMPT
b. Publications financed by sale thereof.....	1
c. Reprints (reissue in same format without change)	EXEMPT
d. Revisions	Same requirement as original document
e. Updates, transmittals.....	Same requirement as original document

**For reports otherwise exempt from A.C.A. § 21-7-402.*

WAIVERS AND EXEMPTIONS TO DEPOSITORY REQUIREMENTS

The Arkansas State Library may grant a waiver or issue an exemption for the depository requirements of print publications.

WAIVERS

Waivers reduce the number of copies an agency or institution is required to supply to the Arkansas State Library.

Waivers are granted when submitting the normal depository requirement will cause a financial hardship for the issuing agency. Generally, a waiver will reduce the number of copies required according to the print run of the document in question:

<u>Printing Run</u>	<u>Depository Requirement</u>
300 or copies	SDR (18 copies)
100-299 copies	LRD (8 copies)
1-99 copies	Waiver (4 copies)

The Arkansas State Library may also issue general waivers if it determines that an individual publication, or specific type of publication, is not of general interest to depository libraries. In these cases, the Arkansas State Library will only require state agencies to deposit the four copies required by A.C.A §13-2-201 and A.C.A §13-2-212 for inclusion in its own collection.

The reduced number of copies to be submitted to the Arkansas State Library are indicated in all waivers.

EXEMPTIONS

An exemption negates all depository requirements for an individual document or type of publication. Agencies are not required to submit any copies of exempted documents.

Exemptions are granted for documents which the Arkansas State Library determines are unnecessary or inappropriate for deposit given the purpose of the Arkansas State Documents Depository Program.

GUIDELINES FOR ISSUED WAIVERS AND EXEMPTIONS

Waivers and exemptions can apply to specified titles, or to a class of documents which have a common format or topic. The following guidelines apply to all waivers and exemptions:

1. Agencies may request or renegotiate a waiver at any time.
2. Waivers or exemptions granted on the basis of format extend to all publications having that format, regardless of issuing agency or the topic of the publication.
 - Examples of **document-type waivers**: minutes of governing board minutes, grant reports, or materials issued exclusively in digital formats.
 - Examples of **document-type exemptions**: correspondence, intra and inter-office or agency communications, and advertising and registration information.
3. Waivers granted for a specific publication series extend to all titles within that series.
 - A series is an on-going publication which is issued under a common name, such as technical reports series, where each issue has a unique, individual title.
4. Waivers granted for periodicals extended to all issues of that periodical
 - Periodicals are publications under the same title which are issued three or more times each year.
5. Waivers or exemptions granted for a specific title extend to revisions or reprints of that title.

SUBMITTING AGENCY RULES TO THE ARKANSAS STATE LIBRARY

A.C.A. §25-15-204(e)(1)(B) requires all state agencies to file final rules with the Arkansas State Library as part of the Administrative Procedures Act. This includes final copies of adopted new, amended, and repealed rules.

The Arkansas State Library request only those rules, regulations, and orders currently in effect and final be filed. Proposed rules are not requested or required by the Administrative Procedures Act. However, if an agency wishes to file a proposed rule with the Arkansas State Library, only one copy is needed.

The Arkansas State Library accepts digital submissions of agency rules. Digital submissions may be sent to aslib-govdocs@ade.arkansas.gov.

DEFINITIONS

The terms used in this manual, related forms and rule submission procedures are defined below:

- **Adopted:** the agency has filed the final rule with the Secretary of State after the rule is approved under § 10-3-309.
- **Amended:** a change or modification has been made to an existing rule. The original rule, regulation or order had been previously filed at the State Library.
- **Authorized Officer:** the head of the agency or the rule-making coordinator for the agency.
- **Certified:** an authorized officer of a state agency confirms via signature that the rule being filed is adopted in compliance with the Administrative Procedures Act.
- **Effective Date:** rules are effective ten (10) days after filing with the Secretary of State unless otherwise specified by law or in the rule itself, excepting emergency rules.
- **Emergency Rules:** rules that are effective immediately upon filing or less than 10 days thereafter when a rule is required due to imminent peril to public health, safety or welfare. Emergency rules, regulations and orders may be effective for no longer than 120 days.
- **Financial Impact Statement:** the statement required by A.C.A. § 25-15-204 (a)(3)(F).

- **New Rules:** have been recently adopted by the state agency and have never been filed with the Arkansas State Library.
- **Repealed Rules:** have been adopted previously, but are now abolished, rescinded, or revoked. The original rule should have been previously filed at the Arkansas State Library.
- **Statutory Authority:** the law authorizing the promulgation of the rules, regulations and orders.

SUBMISSION PROCEDURES

The following procedure applies to final copies of all new, amended, or emergency rules adopted by an agency. The following must be included with each submission:

1. Agency Certification Form

- Make sure the [Agency Certification Form](#) is accurate and complete. Only one form is required per each rule submission.

2. Financial Impact Statement

- A copy of the completed [Financial Impact Statement](#) should be attached to the end of *each* copy of a rule filed with the library.

3. Printed Copies of Rule

The number of copies required is based on how the rule is published and distributed to the public:

- **Digital Only:** digital copies of the Agency Certification Form, Financial Impact Statement, and Rule.
- **Digital & Print:** 4 printed copies of Rule, 4 printed copies of Financial Impact Statement, and 1 printed copy of the Agency Certification Form, plus a digital copy of the Rule, Financial Impact Statement and Agency Certification Form.
- **Print Only:** 12 printed copies of Rule + 12 copies of Financial Impact Statement.

Submit digitally via email to aslib-govdocs@ade.arkansas.gov, or send print submissions to:

Digital Services
Arkansas State Library
900 W Capitol, Suite 100
Little Rock, AR 72201

STATE DEPOSITORY LIBRARIES

STANDARDS OF ELIGIBILITY

Arkansas libraries may apply in writing to the State Librarian to request designation as a state documents depository. The location of the library and evidence of its ability to maintain and provide access to a state documents collection are primary factors of consideration for each request.

1. **Location:** The State Library encourages the establishment of at least one full depository in each Library Development District of the state. There shall be no more than eight depository libraries within a single Library Development District.
2. **Space:** Depositories must be able to provide adequate space to house tangible documents. Space allotted to Arkansas State and local documents must be of quality equal to that used for shelving other library materials.

Upon consideration of the application, the State Librarian will grant depository status to those institutions that meet the standards for eligibility. The Arkansas State Library will then enter into a formal library contract with the library designated as a state depository.

TYPES OF STATE DEPOSITORY DESIGNATIONS

1. **Select depository:** Libraries receive only the Standard Depository Requirement publication types issued in print formats, and have access to materials that are only issued and received by the Clearinghouse in digital formats.
2. **Full depository:** Libraries receive the complete collection of documents obtained by the Clearinghouse for distribution that are issued in print formats, and have access to materials that are only issued and received by the Clearinghouse in digital formats.
3. **Digital depository:** Libraries provide onsite access to documents that are only issued and received by the Clearinghouse in digital formats.

With the proliferation of e-Government, the volume of print documents distributed to depository libraries has decreased dramatically over time, and the physical footprint of a tangible collection is minimal with routine weeding. Even so, the need to facilitate public access to digital information produced by state government remains as important as ever.

Designation as a digital depository is a viable choice for those committed to providing reference services and facilitating access to digital information but lacking the space to accommodate a physical collection.

In addition to forming contracts with state depositories, the Arkansas State Library is also authorized to enter into interstate library exchange agreements with the document clearinghouse authorities in other states, and may enter into deposit agreements with major national research libraries.

MAJOR RESPONSIBILITIES

1. **Collection maintenance:** The documents received by the depository do not have to be maintained as a separate collection, but must be managed in an orderly, systematic matter.

The library must employ classification numbers and bibliographic records to facilitate public access to all documents received from the Arkansas State Library.

2. **Reference service:** depository libraries must have a librarian on staff to provide satisfactory reference services to patrons in the use of the documents collection.
3. **Public access:** All depository libraries must ensure tangible documents are available for public use and interlibrary loan to all non-depository libraries. Libraries must provide access via public computers to digital documents contained in the State Library's online repository.

All depository designations, particularly digital depositories, are encouraged to link to the Arkansas State Library's digital repository on their institution's website.

4. **Inspection.** The library must allow the Senior Librarian of Digital Services to make periodic inspections of the depository library's documents collection to determine that program guidelines are followed. Any inspection will be scheduled at the mutual convenience of both parties.

The Senior Librarian will work with the depository librarian to eliminate any deficiencies, but if the library is unwilling or unable to comply with the rules, it may be deemed grounds to terminate the depository contract by the Arkansas State Library.

5. **Training.** Designated personnel for State documents in depository libraries are required to participate in any mandatory training provided by the Clearinghouse.

TRAINING FOR DEPOSITORY LIBRARY STAFF

Orientation sessions and individualized training can be provided by the Arkansas State Library upon request. Depository library staff may contact the [Senior Librarian of Digital Services](#) to arrange a session.

Training sessions can be held virtually, at the depository library, or onsite at the Arkansas State Library. Tours of the Arkansas State Library's Documents collection can also be arranged upon request.

CONSULTATIONS

Depository library staff are encouraged to contact Digital Services staff whenever they have questions or concerns about a document shipment, or any of the depository program's procedures and guidelines.

Depository library staff may request onsite consultations from the Arkansas State Library as needed.

Depositories are also welcome to contact Digital Services staff to help mediate reference requests concerning state documents or to facilitate interlibrary loan requests for materials from the Arkansas State Library's collections.

DOCUMENT DISTRIBUTION TO DEPOSITORY LIBRARIES

Full and select depositories will receive tangible documents for titles only if the issuing state agency produced and distributed the document exclusively in print format.

FULL DEPOSITORIES

Full depository libraries receive a tangible copy of the complete collection of documents obtained by the Clearinghouse for distribution. Items received by full depositories include all documents covered by both the Standard and Limited Depository Requirements for state agencies and state-supported institutions of higher learning.

SELECTIVE DEPOSITORIES

The distribution list for selective depository Libraries contains specific types of publications. These publications include all document types covered by the Standard Depository Requirements for state agencies and state-supported institutions of higher learning. Select depository libraries receive only those specific document types when agencies issue them in print format.

DIGITAL DEPOSITORIES

Digital titles and bibliographic records are available to all depository libraries from the Arkansas State Library's online repository. The title, Arkansas Documents classification number, and URL to the digital object are provided in each shipping list.

Depository libraries may, but are neither required to download bibliographic records of digital documents, nor to host redundant copies of digital files on their own institutional servers or online repository. However, digital depositories are encouraged to provide visibility to the digital collection by linking to the Arkansas State Library's repository on their institution's website.

PROCEDURES FOR DEPOSITORY LIBRARIES

RECEIPT OF DOCUMENTS

The Clearinghouse ships documents received for distribution to the depository libraries on a regular basis. Each depository library receives a tangible copy of each document according to its elected designation.

The current shipping interval is two months. The shipping interval may change based on the volume of the documents received for distribution, but depository staff will be notified in advance of any temporary or permanent changes to the schedule.

SHIPPING LIST

A shipping list is included that lists tangible items included in each shipment, as well as new digital documents made available since the last shipment. A printed copy is included in each shipment, but a serial version of the [Shipping List](#) is also published on the Arkansas State Library's website.

The shipping list should be retained by the depository library as the minimum record for the documents it receives from the Arkansas State Library.

CLAIMS

Claim any missing, defective or damaged tangible document within thirty days of receiving a shipment by contacting [Digital Services](#).

COLLECTION MANAGEMENT

All documents received by the Arkansas State Library, including those distributed to depository libraries remain the property of the citizens of Arkansas. The Arkansas State Library and depository libraries act as custodial agents for these materials. State documents cannot be sold, and can only be discarded with approval by the Arkansas State Library.

PROCESSING THE DOCUMENTS

- **Timeframe:** Documents should be processed within thirty days of receipt.
- **Document classification:** The Arkansas State Library provides classification numbers for documents shipped using the Arkansas Documents Classification scheme.

Depository libraries are not required to use the classification numbers assigned to documents by the Arkansas State Library. If depositories choose to use different numbers, it must employ another well-established classification system to all tangible documents it receives, such as Library of Congress or Dewey Decimal classification systems.

- **Cataloging:** If a depository library chooses to integrate state documents into another collection, the documents must be cataloged the same way as other titles in that collection.

OCLC numbers are included on the shipping list, so depository libraries can copy catalog records produced by the Arkansas State Library if desired.

Libraries are not required to catalog or ingest bibliographic records produced by the Arkansas State Library for digital documents, but may do so if desired.

DISCARDING DOCUMENTS

Selective libraries may discard tangible materials after a minimum retention period of one year, and full depositories after three years. Discarded state documents may not be sold under any circumstance.

After the retention period has elapsed, depository libraries may discard documents with the approval of the Senior Librarian of Digital Services according to the following procedure:

1. Submit a complete inventory of documents selected for discard to the Senior Librarian of Digital Services via email at lanette.meyer@ade.arkansas.gov . The inventory should be a digital file (MS Word, MS Excel, etc.) and contain the following information for each entry:
 - Title
 - Publication Date
 - Arkansas Documents Classification Number

The Senior Librarian will review the list and compare it to the Arkansas State Library's holdings. The Senior Librarian may request items from the list if needed for the Arkansas State Library's collections.

2. After receiving approval from the Senior Librarian to discard, the documents must be offered to other depository libraries in the state for a period of fourteen days.

A current list of depository library contacts can be acquired from the Senior Librarian.

3. Following the fourteen-day offer period, all unclaimed items may be discarded following the depository library's standard discard procedures, provided the documents are not sold.

CHANGE IN DESIGNATION TYPE

The depository library may request a change to its elected designation in writing to the State Librarian. The notice must state the reason why the library desires to change designation.

Upon approval by the State Librarian, the Digital Services section will issue instructions to the depository library regarding the disposition of any depository documents held by that library effected by the change in status.

WITHDRAWAL FROM PROGRAM

Libraries are encouraged to contact the Arkansas State Library with any concerns about continued participation in the program prior to withdrawal, to explore possible accommodations that would resolve the concern and allow the library to retain its depository status.

- **Termination:** The Arkansas State Library may terminate its contract with a depository library if it fails to comply with these guidelines. The Arkansas State Library will make every effort to help a library become compliant, and use termination only as a last resort.
- **Rescission.** A library may relinquish its depository status on written notice to the State Librarian. The notice must state the reason why the library desires to terminate the contract.

Upon termination of the contract by either party, the Clearinghouse at the Arkansas State Library will issue instructions to the depository library regarding the disposition of the depository documents held by that library.

If a library relinquishes its depository status, all depository documents held by that library will revert to the custody of the Arkansas State Library. At that time, the Arkansas State Library will issue instructions to the former depository concerning the withdrawal of the depository documents held by that library.

ENABLING STATUTES OF THE ARKANSAS STATE DOCUMENTS DEPOSITORY PROGRAM

ENABLING STATUTES

DOCUMENT SUBMISSIONS AND DEPOSITORY AGREEMENTS

The Arkansas State Documents Depository and The State and Local Government Publications Clearinghouse programs are mandated by A.C.A §§ 13-2-210 – 13-2-214, first enacted by Act 489 of 1979.

RULE SUBMISSIONS

A.C.A. §25-15-204(e)(1)(B) requires all state agencies to file final rules with the Arkansas State Library as part of the Administrative Procedures Act. This includes final copies of new, amended, and repealed rules.

ANNUAL AND BIENNIAL REPORT SUBMISSIONS

Per A.C.A. §21-7-402(b), whenever state law requires any state agency, department, board, or commission to prepare and publish an annual or biennial report, the agency is required to file 50 copies of that report with the Arkansas State Library.

RULE OF THE ARKANSAS STATE DOCUMENTS DEPOSITORY PROGRAM

ARKANSAS STATE LIBRARY STATE AND FEDERAL DOCUMENTS DEPOSITORY PROGRAMS

A. Introduction

Part A.1 Purpose and scope.

- (a) **Purpose** Act 489 of 1979 of the Arkansas General Assembly created the Arkansas State Library and provided broader responsibilities than those of the State Library Commission. Among the new obligations are those relating to Federal, State, and local publications as described in Section 8 of Act 489, and in A.C.A. § 13-2-201, and § 13-2-210 – 13-2-214. The purpose of this rule is to implement procedures needed to administer the documents programs.
- (b) **Federal regional depository library.** The State Library shall serve as the regional depository library for Federal documents received from the U.S. Government Publishing Office (GPO) through its Federal Depository Library Program.
- (c) **Official Depository for State and Local Documents.** The State Library shall maintain the official depository collection of State and local documents printed or issued by government entities and state-supported institutions of higher learning within Arkansas.
- (d) **State and Local Government Publications Clearinghouse.** The State Library shall maintain the State Publications Clearinghouse to gather and distribute documents to the State Depository Library System.
- (e) **Agencies and document submissions.** All Arkansas State government entities, state-supported institutions of higher learning and local governments must furnish one copy of each of their publications for the State Library's permanent depository collection. Additional copies of each publication shall be furnished to the State Library as required by the Clearinghouse.
- (f) **Depository libraries.** The State Library will enter into depository agreements with libraries throughout the State to supply these libraries with copies of Arkansas State and local publications. The libraries shall make these publications available for use by the general public.

Part A.2 Definitions.

As used in this rule, the terms below have the following meaning:

- (a) **State agencies** include the General Assembly and its committees, constitutional officers, and any department, division, bureau, board, commission, or agency of the State of Arkansas, including state-supported institutions of higher learning.
- (b) **Local governments** include Arkansas cities of the first and second class and incorporated towns, and counties, and all boards, commissions, and agencies thereof.
- (c) **State and local publications** include any document issued or printed by any State agency or local government which may be released for distribution, whether in tangible or digital format.
- (d) **Printed** means all forms of printing and duplication.
- (e) **Issued** means all forms of dissemination, including digital formats.
- (f) **Clearinghouse** means the State and Local Government Publications Clearinghouse, the Digital Services section of the State Library charged with the distribution of publications to depository libraries.
- (g) **Depository libraries** mean those libraries which enter into a contract with the Arkansas State Library to receive publications from the Clearinghouse. A depository library may elect to become a:
 - i. **Select** depository library that receives only Standard Depository Requirement publication types.
 - ii. **Full** depository library that receives the complete collection of documents obtained by the Clearinghouse for distribution.
 - iii. **Digital** depository library that provides onsite access to documents that are only received and disseminated by the Clearinghouse in digital formats.
- (h) **Regional depository library** is the designation given by the U.S. Government Publishing Office to libraries that agree to receive and retain in perpetuity at least one copy of all tangible publications made available to the Federal Depository Library Program.

B. Federal Regional Depository Library

Part B.1 Designation.

The State Library was designated as a regional depository library by U.S. Senator Dale Bumpers and A.C.A. § 13-2-210 enables the Arkansas State Library to assume the role.

Part B.2 Responsibilities.

The Arkansas State Library shall adhere to the responsibilities of regional libraries listed in 44 U.S.C. 1909-1916 and the *Legal Requirements and Program Regulations of the Federal Depository Library Program* issued by the U.S. Government Publishing Office's Office of the Superintendent of Documents.

C. Official Depository for State and Local Documents

Part C.1 Established at the Arkansas State Library.

A.C.A. § 13-2-210 establishes the Arkansas State Library as the official depository of State and local documents. The official collection was established July 1, 1980.

Part C.2 Contracts.

The Arkansas State Library may enter into contracts or agreements with Mullins Library of the University of Arkansas or with the library of any other Arkansas State-supported institution of higher learning.

Through contract or agreement, the State Library may provide any of the duties or functions of any of said libraries pertaining to State or local publications, or to provide depository library services on behalf of the libraries.

Part C.3 Collection

(a) Maintenance.

- i. Materials submitted in accordance with Part E.4 of these rules shall constitute and be maintained as a separate Arkansas Documents collection at the Arkansas State Library.

- ii. Rules promulgated by State government and submitted to the Arkansas State Library in accordance with the Administrative Procedures Act per A.C.A. §25-15-204(e)(1)(B) shall be maintained as a separate collection at the Arkansas State Library.
- (b) **Classification.** Arkansas State Library staff shall assign Arkansas document classification numbers to all Arkansas State and local publications received. Classification numbers shall be available to depository libraries through communications from the Clearinghouse.
- (c) **Cataloging.** Arkansas State Library staff shall catalog State and local publications according to the current professional standards developed by the Library of Congress.
- i. Bibliographic records shall be created according to the Resource Description and Access (RDA) cataloging standard, using the Machine-Readable Cataloging Record (MARC) format.
 - ii. Bibliographic records for digital items hosted in the State Library's online repository shall be created according to the RDA cataloging standard, using a qualified Dublin Core metadata schema. Each Dublin Core element in a digital record shall be mapped to a single MARC field so that digital items may be cross-cataloged, with linked records viewable in both the repository and online public catalog.

Part C.4 Access

Any Arkansas State or local document held by the State Library, or a duplication thereof, shall be available to any person. In the case of a copyrighted work, the State Library is governed by the Fair Use provisions of 17 U.S. Code as pertains to reproduction by libraries.

- (a) Depository materials received pursuant to E.4(a) must be used onsite at the Arkansas State Library, and are not available for lending.
- (b) Clearinghouse copies received pursuant to E.4(b) are available for lending by the Arkansas State Library.
- (c) A duplication will be provided of any State or local document the Arkansas State Library deems unsuitable for lending or handling due to its physical condition.

D. State and Local Government Publications Clearinghouse

Part D.1 Relationship with State and local agencies

The Clearinghouse shall maintain a network of liaisons representing each state agency or local government to facilitate communication between the Arkansas State Library and each state or local agency concerning the deposit of documents or rules. The Clearinghouse shall make every effort to form new and maintain existing contacts among state and local agencies.

The Arkansas State Library shall provide training to agency liaisons concerning depository submission procedures, including the types of documents and proper number of copies to submit.

Part D.2 Services to depository libraries

- (a) **Document shipments.** The Clearinghouse shall send State and local publications received for distribution to depository libraries on a regular basis. A shipping list shall be included that notes tangible items sent with each shipment, as well as new digital documents made available between shipping intervals.
- (b) **Document copies.** The Clearinghouse shall furnish each depository library with a tangible copy of each State and local publication according to its elected designation.

Part D.3 Inspections

The Senior Librarian of Digital Services shall make periodic inspections of all depository libraries to determine that this rule and related guidelines are followed. If an inspection shows that a library is not fulfilling the obligations set forth in Part F, the Senior Librarian will work with the depository librarian to eliminate the deficiency. Should the library be found unwilling or unable to comply with the standards of Part F.3, such failure to comply will be deemed grounds for termination of the depository contract by the Arkansas State Library.

Part D.4 Training

- (a) **Depository libraries.** The Senior Librarian of Digital Services shall provide basic training to all designated personnel responsible for State documents in depository libraries. Additional training or consultation shall be provided as needed.

(b) **Agency liaisons.** The Senior Librarian of Digital Services shall provide orientation sessions and training to all designated agency liaisons. Additional training or consultation shall be provided as needed.

E. Agencies and Document Submissions

Part E.1 Agency liaison.

(a) **Designation.** Each agency director shall designate one or more agency employees to serve as a liaison with the State Library. Changes in the designation of a liaison shall be communicated by the appropriate agency official to the Clearinghouse.

- i. State and local agency liaisons should be designated based on convenience to said agency. An agency may choose to designate more than one liaison to represent an individual division, unit or section.
- ii. The liaison shall have knowledge of the organizational structure of their department and the documents it produces to aid State Library staff as needed in the classification of agency documents.
- iii. The liaison may establish a network of other staff within an agency to assist with identifying and sending publications to the Arkansas State Library.

(b) **Responsibilities.** Liaisons shall be responsible for submitting documents to the Arkansas State Library, ensuring required certification and submissions forms are complete, and communicating with Arkansas State Library staff concerning related issues.

Part E.4 Submission of agency publications.

The agency liaison shall ensure that the number of copies required by the State Library are submitted, upon release by the agency, to this address:

Digital Services
Arkansas State Library
900 W. Capitol Ave., Suite 100
Little Rock, AR 72201

(a) **Depository copy.** All State agencies and local governments shall furnish the State Library with one official permanent depository copy of each publication issued, including each document

noted in subdivisions (a)(1), (2), (3), and (6) of A.C.A. § 13-2-201. Exemptions to the depository requirement are listed in (a)(4) and (5) of A.C.A. § 13-2-201.

(b) **Clearinghouse copies.** The number of copies required by the Clearinghouse can vary according to the type of document being submitted, but primarily depends on the format in which the document is published and disseminated by the agency. The number of copies and document types required by the Clearinghouse are set forth in the State Documents Depository Program Guidelines.

- i. **Print Format.** The Clearinghouse has the authority to request up to fifty copies of most State and local publications issued in print format, but will only request enough to distribute one copy to each depository library and to satisfy the four copies required for the Arkansas State Library's collections in Parts C.4 and C.5(a).
- ii. **Digital Format.** For documents published and distributed exclusively in digital format, the Clearinghouse must receive a copy of the digital file and the URL at which it is published, if applicable.
- iii. **Print and Digital Format.** For documents published and distributed in both print and digital formats, the Clearinghouse must receive a minimum of four copies of the print version to satisfy the depository and interlibrary loan copy requirements. In addition to the print copies, the Clearinghouse must receive a copy of the digital file and the URL at which it is published, if applicable.

Part E.5 Standard Depository Requirement (SDR).

By submitting the SDR to the Clearinghouse, an agency ensures that a copy of the publication is sent to each depository library and included in the official State Documents Depository at the Arkansas State Library. The SDR is set at four copies for the Arkansas State Library plus one copy for each select and full depository. The SDR may be reduced when only a small printing run is made.

Part E.6 Limited Depository Requirement (LDR).

When distribution of a publication is made only to full depositories, agencies should submit enough copies to fill the LDR. The LDR is set at four copies for the Arkansas State Library plus one for each full depository.

Part E.7 Reduction of Standard Depository Requirement.

(a) **Waivers.** When a documents liaison sees that a printing run is too small to fill the SDR without a financial hardship on the agency, that liaison may request a waiver from the Clearinghouse to reduce the number of copies required for submission. Each waiver shall specify the number of copies to be supplied by the agency accordingly:

<u>Printing Run</u>	<u>Depository Requirement</u>
300 or more copies	SDR
100-299 copies	LRD
1-99 copies	4 copies

(b) **Type waivers.** Certain publication types are determined by the Clearinghouse to be appropriate for inclusion only in the Arkansas State Library’s collections. The SDR is waived for these publication types, and four copies are required by the Clearinghouse. These document types are listed in the State Documents Depository Program Guidelines.

(c) **Exemptions.**

- i. Some publication types are determined by the Clearinghouse to be unnecessary for retention by any depository. Agencies need not supply any copies of these to the State Library. Exempted document types are noted in the State Documents Depository Program Guidelines.
- ii. Exemptions to the requirement of submitting three copies of a publication to the Clearinghouse for interlibrary loan purposes are noted in A.C.A. § 13-2-201 (a). These specific exemptions do not apply to the official permanent depository copy which must be submitted to the State Library.
- iii. Exemptions to the requirement of submitting a single depository copy to the State Documents Depository collection are listed in (a)(4) and (5) of A.C.A. § 13-2-201.

Part E.8 Queries.

Agency liaisons are encouraged to consult with the Clearinghouse any time they are uncertain about the types and number of documents they are required to submit, or whether specific documents are exempt from or otherwise unsuitable for inclusion in the State Documents Depository.

F. Depository Libraries

Part F.1 Designation.

- (a) **Arkansas libraries.** The State Librarian shall invite any library within the State to apply for selection as either a full, select or digital depository library of State and local documents. Libraries must show evidence of being able to meet the standards for eligibility. From those applications, the State Librarian shall name the institutions meeting the standards for eligibility that are to be depository libraries. The Arkansas State Library shall enter into a formal library contract with each of the designated depository libraries.
- (b) **Interstate exchange.** The Arkansas State Library may enter into interstate library exchange agreements with the document clearinghouse authorities in other states, and may enter into deposit agreements with major national research libraries.

Part F.2 Ownership of publications.

The Arkansas State and local documents sent to depository libraries from the Clearinghouse are the property of the people of Arkansas. The Arkansas State Library and the depository libraries act as custodial agents for this material. Should a library give up its depository status, all depository documents held by that library will revert to the custody of the Clearinghouse. At that time, the Clearinghouse shall issue instructions to the former depository concerning the withdrawal of the depository documents held by that library.

Part F.3 Standards for eligibility

- (a) **Location.** The State Library shall encourage the establishment of at least one (1) full depository in each of the five Library Development Districts of the State. There shall be no more than eight (8) depository libraries within a Library Development District.
- (b) **Space.** Depositories shall provide adequate space to house the documents. Space allotted to Arkansas State and local documents shall be of a quality equal to that in use for shelving other library materials.
- (c) **Collection maintenance.** The Arkansas State and local documents collection shall be maintained in an orderly, systematic manner. Bibliographic records providing access to the material shall be available for patron use.
 - i. **Receipt records.** A minimum record of receipt of documents from the Clearinghouse shall be retention of shipping lists.

- ii. **Processing interval.** All State and local documents shall be processed and shelved within thirty days after their receipt.
 - iii. **Document classification.** The depository need not use the Arkansas documents classification numbers used by the Clearinghouse, but it must alternatively apply some well-established classification system to tangible depository material to facilitate shelving and retrieval. Tangible documents need not be maintained as a separate collection.
 - iv. **Cataloging documents.** Tangible documents integrated into other collections shall be cataloged as other titles in that collection. Libraries may, but are not required to, ingest catalog records provided by the Arkansas State Library for digital documents.
 - v. **Claims.** Tangible documents listed on a shipping list that are not included in the shipment, or the receipt of defective or damaged copies, should be claimed within thirty days of receipt of the shipping list.
 - vi. **Retention.** The depository shall dispose of documents only in accordance with policies established by the Clearinghouse.
- (d) **Reference service.** All depository libraries shall employ a librarian trained to provide satisfactory reference services to its patrons in the use of State documents.
- (e) **Public access.** All depository libraries must ensure tangible documents are available for public use and interlibrary loan to all non-depository libraries. Libraries must provide access via public computers to digital documents contained in the State Library's online repository.
- (f) **Inspection.** The depository library shall permit representatives of the Clearinghouse to inspect the facilities provided by the library for the storage and use of all State publications distributed to it under this agreement. The depository will supply any information which may be requested by the State Library in connection with the depository program.
- (g) **Training.** Designated personnel for State documents in depository libraries shall be required to take any mandatory training provided by the Clearinghouse.

Part F.4 Dissolving the depository contract.

- (a) **Termination.** Each depository library shall agree to this rule and related guidelines when entering a contract with the Arkansas State Library. Failure to comply may result in a termination of the contract by the Arkansas State Library as provided in Part D.3.

(b) **Recission.** The depository library may relinquish the depository status on written notice to the State Librarian. The notice shall state the reason why the library desires to terminate the contract. Upon termination of the contract by either party as a consequence of this section or Part D.3, the Clearinghouse shall issue instructions to the depository library regarding the disposition of the depository documents held by that library.

ARKANSAS STATE LIBRARY COLLECTION DEVELOPMENT POLICIES FOR GOVERNMENT DOCUMENTS

Depository copies in the Arkansas Documents and Rules collections do not circulate or leave the premise of the Arkansas State Library. Additional copies of the depository item are available for lending and interlibrary loan.

In the event that there are no circulating copies available, or when an item that would normally circulate is deemed unsuitable for lending or handling due to its physical condition, duplication of the material will be provided as an alternative means of access.

Documents

The Arkansas State Library maintains the following government documents collections:

1. Arkansas Documents: Composed of materials the library receives by serving as the official depository for state and local documents per A.C.A. § 13-2-210. The Arkansas State Library adheres to promulgated rules in effect concerning the program and related guidelines.
2. Arkansas Rules: Composed of agency rules the library receives per A.C.A § 25-15-204(e)(1)(B) of the Administrative Procedure Act. The library receives final copies of adopted rules, including amendments and repeals.
3. Federal Documents: Composed of materials the library receives by serving as the Regional Federal Depository Library for the state of Arkansas per A.C.A. § 13-2-210. Federal documents are collected per the Federal Documents Collection Management Policy.
4. Patents: Composed of material the library receives as a Patent and Trademark Resource Center in affiliation with the United States Patent and Trademark Office.