



## Guidance Document

### 1.1 Publications Required to be Deposited

- A. State publications include any materials published by authority of a state agency/department, regardless of the source of funds, which are intended for distribution outside the agency/department and not published solely to meet the internal operational needs of the agency. State publications which are required to be deposited include, but are not limited to, technical papers, annual reports, financial reports, bulletins, special reports, newsletters, brochures, databases and other publications that would be of interest to the public. Materials may be in any format, reproduced by any methods and may deal with any subject matter.
- B. Informational materials specified by federal or state law to be distributed to the public fall under this definition and are required to be sent to the Clearinghouse
- C. Electronic publications submitted to the Clearinghouse will be housed on a computer system administered by the Secretary of State's office. The Clearinghouse Director will maintain the publications and ensure that they are available to the Clearinghouse libraries.
- D. Compliance with the Clearinghouse Laws and Regulations does not mean that the Agency has complied with the record retention requirements of R.I. Gen. Laws Chapter 38-3 or any other reporting requirements enacted by statute or executive order, for example (and not limited to):
  - 1. R.I. Gen. Law §§ 42-20-8.1 and 8.2, "Public access to state contract, Audits".
  - 2. R.I. Gen. Laws Chapter 42-20, "Administration of State Departments".
  - 3. R.I. Gen. Laws § 42-35-2.4, "Electronic filing".
  - 4. R.I. Gen. Laws Chapter 42-36, "Annual Reports".

### 1.2 State Publications Not Required to be Deposited

- A. Agencies/departments may publish some items that are not appropriate for deposit. These items would include internal memoranda, correspondence, administrative forms, internal confidential documents, minutes of meetings, blueprints, and internal announcements.
- B. The Documents Officer shall consult with the Clearinghouse Director to determine if an item falls into one of these categories. An appeal to the State Librarian is an option for any agency/department that disagrees with the decision of the Clearinghouse Director.

### 1.3 Number of Copies to be Deposited

- A. As per Rhode Island general law 29-7-5, a minimum of twenty-five (25) copies of each publication are required to be deposited with the Clearinghouse for distribution to depository libraries. At times, more than twenty-five (25) copies of a publication will be necessary for distribution. The



Clearinghouse Director will advise appropriate Documents Officers as to which publications fall into this category. The twenty-five copy minimum shall not apply to electronic publications.

- B. The publications may be delivered directly to the Clearinghouse by the most convenient method for the issuing agency.
- C. If any agency/department does not send a publication to the Clearinghouse the agency will be notified by the Clearinghouse Director.
- D. Electronic publications shall be accepted in formats to be determined by the Clearinghouse Director.

#### 1.4 Designation of the Documents Officer

- A. The head of each Overseeing Body (i.e. director of state agency, quasi state agency, commission, etc.) is responsible for designating a person to be the Documents Officer for that body.
- B. The designation of the official Documents Officer must be submitted in writing on the "Open Government Filing Coordinator Designation Form" issued by the Secretary of State. This form must be resubmitted within thirty (30) days of a change in the designation of the Documents Officer. The designation must include the full name, mailing address, phone number and email address for the Documents Officer. The designation will be complete upon the confirmation of a valid email address by the Office of the Secretary of State. This information will need to be updated within ten (10) days of a change in email address.
- C. If the designation of the Documents Officer cannot be completed by the specified deadline, designation of an Interim Documents Officer will be accepted until the official ratification of a Documents Officer can be completed by the head of the Overseeing Body, but a Documents Officer shall be officially designated no later than ninety (90) days after the specified deadline. The Secretary of State will provide an interim Documents Officer form.
- D. It is the responsibility of the Overseeing Body to ensure that the Documents Officer's information is current and accurate.
- E. It is the responsibility of the Documents Officer to notify the Secretary of State and provide all pertinent contact information upon the creation of a new Public Body.
- F. The duties of Documents Officer will be to ensure that his or her agency/department deposits all publications that are required to be deposited with the Clearinghouse. The Clearinghouse Director shall maintain an up-to-date list of Documents Officer, and it will be the responsibility of the agency/department to inform the Clearinghouse of any change in personnel.

#### 1.5 Depository Library Designation and Responsibilities

- A. When considering a library for possible designation as a depository, factors taken into consideration will be location, size of population served, space available in the library for state publications, and the availability of a professional to take responsibility for the collection.
- B. There shall be full depositories and selective depositories. Selective depositories shall accept the designated core collection and then choose categories of publications that meet their patrons' needs. Full depositories shall accept all state publications.



C. Responsibilities of the depository libraries shall include:

1. Provide space to house the publications; they need not be housed in a separate collection;
2. Maintain an orderly, systematic record of receipt of publications;
3. Process and make available all state publications within a reasonable period;
4. Provide bibliographic access to the depository's holdings;
5. Assign the state publications collection to a professional librarian;
6. Dispose of publications only in accordance with the established disposal guidelines. (see § 1.8 (H));
7. Accept and maintain the core collection. (see § 1.8 (G));
8. Make the publications available to the public during all hours that the library is open;
9. Agree to permit the Clearinghouse Director to inspect the publications collection periodically;
10. Agree to participate in any surveys, questionnaires, etc. in any format about publications and operation of the Clearinghouse that the Clearinghouse Director may circulate;
11. Provide access to electronic publications.

## 1.6 Designation Procedures

- A. Libraries may apply to the Clearinghouse Director to be a full or selective depository.
- B. The Clearinghouse Director shall designate depository libraries and determine whether they will be full or selective depositories.

## 1.7 Termination of Depository Designations

- A. A depository has the right to terminate its status as a depository by letter to the Clearinghouse Director. All depository material remains the property of the Clearinghouse and the library shall retain or dispose of the depository publications only as instructed by the Clearinghouse Director.
- B. The Clearinghouse Director may terminate the status of a library as a depository upon proof of unsatisfactory performance. Written notification shall be providing to the depository library director at least six (6) months prior to such action. A depository which acts to remedy unsatisfactory conditions may apply to the Clearinghouse Director for a suspension or reversal of the decision to terminate depository status. An appeal to the State Librarian is an option for any depository that disagrees with the decision of the Clearinghouse Director.

## 1.8 General Guidelines

- A. It will be the Clearinghouse Director's responsibility to be aware of the frequency of publications produced on a regular basis and to see that the agencies/departments are sent reminders of their responsibility to deposit publications with the Clearinghouse.
- B. State publications will be classified. The recommended system for classifying separate state publications collections is the Swank classification scheme specifically developed for state publications. In this scheme, Rhode Island is assigned number 39 as a state designation. The



Clearinghouse should input into OCLC full original cataloging in the MARC, format based on the latest edition of AACR2.

- C. The Clearinghouse will also be responsible for compiling and maintaining an authority file of state agencies, citing the name of the agency as it is to be used for cataloging. The authority file will be based on the latest edition of AACR2. Any necessary cross references and a brief history of the agency/department will also be included in this file. Authority file information will also be available and maintained on OCLC.
- D. A record of each publication received by the Clearinghouse will be kept in the State Library's catalog. The record includes title of publication, issuing body, publication data, date distributed, receiving libraries, Swank classification and OCLC number.
- E. The Clearinghouse Director will prepare a quarterly checklist of state publications. The checklist will include the same information as the shipping list, but cover a three-month period.
- F. Distribution of state publications will be the responsibility of the Clearinghouse. It will distribute a copy of the publication to each designated depository library after the Clearinghouse has recorded and cataloged the item.
- G. A core collection of printed state publications will be designated to be held by all participating libraries. The libraries may then select categories of publications that meet the needs of their patrons. Some libraries will choose to be full depositories and as such will receive all state publications deposited with the Clearinghouse. The Clearinghouse Committee will review the core collection yearly. Any changes will be sent out to all depository libraries. "Core collection publications" means those publications for which members of the public have the most significant and frequent need, as determined by the State Librarian, in consultation with state agencies and librarians. The following list of publications shall constitute the current core collection:
  - 1. Media Guide;
  - 2. Rhode Island Elected Officials;
  - 3. Rhode Island General Assembly & How A Bill Becomes a Law;
  - 4. Rhode Island Government Owner's Manual;
  - 5. Rhode Island State Budget Documents.
- H. Publications distributed to depository libraries shall remain the property of the Clearinghouse. Permission from the Clearinghouse will be required to dispose of them. Publications must be kept for five years from the date of receipt unless superseded. The superseded edition may then be discarded. The State Library, Providence Public Library, and the University of Rhode Island Library will retain all publications permanently except for ephemera and transmittals.
- I. Reference and loan services will be provided by the depository libraries. A professional librarian will be responsible for maintaining the state publications collection in every depository library. The librarian will be responsible for providing reference service to patrons and for providing materials for interlibrary loan. Interlibrary loan services will follow established guidelines for the participating library.