1. Please remember that while you are in the on-line classroom, all other participants can hear everything you say (even in the background), and can see everything you write on the whiteboard.

2. I will be muting All participants to help with sound distortion.

3. Please make sure that all phones are muted during the sessions. Press *6 and your phone will be muted.

4. Feel free to submit notes during session for discussion. If you would like to send a note / comment, please send to “all” so that everyone can see the question and then hear the answer to that question.

5. Please raise your hand if you wish to speak

6. Take a vote: How many of you are participating in today’s session with a group of co-workers?

7. If so, how many of you are there in your group? (Send # as a note)

8. At the end of the training, I will be taking questions. Write down any questions you have during the session, and we will have an opportunity to ask them at the end.
**PRESENTER(S)**

Jerry Lucente-Kirkpatrick  
*Records Analyst*  
(RM Training; and Retention Schedules and Imaging – Local Agencies)  
Records Management Division  

And  
Dennis Preisler  
*Assistant Director*  
State Archives and Records Management  
Library, Archives and Public Records  
Arizona Secretary of State

**LIBRARY, ARCHIVES AND PUBLIC RECORDS (LAPR) ORGANIZATION AS A STATE AGENCY**
ALL RECORDS MANAGEMENT IN ARIZONA IS GOVERNED BY ARIZONA REVISED STATUTES (ARS)

- In Arizona, **everything that we do** in Records Management is governed by Arizona Revised Statutes (ARS).

- The ARS that govern Records Management are:
  - § 41-151.14 – §41-151.19
  - and
  - Portions of §39-101 – §39-128

- The purpose of this training today is to discuss the creation, interpretation, modification and use of records retention and disposition schedules.

- An examination of record series, retention periods, historical records, confidentiality, and record series “cutoffs”

- Procedures for destroying records

WHAT IS A “RECORD”

41-151.18. Definition of records

In this article, unless the context otherwise requires:

- "**records**" means all books, papers, maps, photographs or other documentary materials,

- **Regardless of physical form or characteristics**, including prints or copies of such items produced or reproduced on film or electronic media pursuant to section 41-151.16,

- **Made or received by any governmental agency** in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the agency or its legitimate successor

- **As evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained in the record**, and includes records that are made confidential by statute.
WHAT IS NOT A RECORD

41-151.18. Definition of records - continued

Not included within the definition of records as used in this article:

- Library or museum material made or acquired solely for reference or exhibition purposes

- Extra copies of documents preserved only for convenience of reference

- Stocks of publications or documents intended for sale or distribution to interested persons (“State Documents”)
RECORDS OF ENDURING VALUE

Arizona’s State Archives

Our mission is to identify, acquire, preserve and make available the permanent public records of Arizona.

The Archives preserves information of Arizona government to promote research, encourage the study of Arizona history and provide leadership and assistance to organizations and individuals responsible for historical records.

Melanie Sturgeon, History and Archives Division

ARIZONA’S GOVERNMENT RECORDS OF ENDURING VALUE (PERMANENT RECORDS) RESIDE IN:

--LARGE AND SMALL STATE AND LOCAL GOVERNMENT AGENCIES AND OFFICES
--THE STATE ARCHIVES
--LARGE AND SMALL HISTORICAL SOCIETIES
--PRIVATE COLLECTIONS

WE EACH HAVE PIECES OF THE PUZZLE THAT MAKES UP OUR HISTORY.
POLLY ROSENBAUM ARCHIVES & HISTORY BUILDING

- Houses the State Archives (aka History and Archives Division of the Arizona State Library, Archives, and Public Records)

ARIZONA’S STATE ARCHIVES

- Mandated to collect, preserve, and make accessible the records of Arizona and its government
- (ARS §41.151.09)
STATE ARCHIVES WORKS WITH STATE AND LOCAL GOVERNMENT OFFICES

- Help appraise records for historical value
- Help inventory permanent records
- Training on storage and preservation of records
- Provide training and consulting on electronic records
- Emergency and disaster planning and recovery

CERTIFYING RECORDS

ARS §41-151.05

A. Duties of the Director

4. Certify copies from books, documents or other archival or public records which have been deposited in the custody of the state library. The fee for certification shall be the same as prescribed for the certification of records by the secretary of state. These fees shall be transmitted to the state treasurer for credit to the state library fund established by section 41-151.06. These certificates have the same force and effect as if made by the officer originally in charge of the record.
WE COLLECT RECORDS FROM ARIZONA’S:

- Executive branch
- Legislative branch
- Judicial branch
- County and municipal governments
- Boards, Commissions, Special Districts
- Some private individuals

ARCHIVES AND RECORDS MANAGEMENT

- RMC stores permanent and non-permanent records until their retention time met (Purgatory)

- Permanent and historical records go to Archives after retention time met (Heaven)
WHAT ARE RECORDS?

- Evidence of our activities and relationships
- Provide information about associated people, organizations, events, and places
- Anything can be a record!

<table>
<thead>
<tr>
<th>Paper</th>
<th>Tapes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Photographs</td>
<td>Leather</td>
</tr>
<tr>
<td>Maps</td>
<td>Electronic</td>
</tr>
<tr>
<td>Film</td>
<td>and more...........</td>
</tr>
</tbody>
</table>

WHY SAVE RECORDS?

- Make government accountable to its citizens
- Provide evidence about public policies and programs
- Protect or verify individuals’ rights and entitlements.
- Provide information about the important people, issues, places, and events that make up the story of Arizona’s history.
PRESERVING ARIZONA'S RECORDS OF ENDURING VALUE

- Photographs
- Documents
- Maps
- Film and recordings
- Electronic records

PHOTOGRAPHS
TRADEMARKS IN FOLDER AND BOX

IS THIS HISTORICAL?

Records are deemed historically significant when they:

• Document a controversial issue

• Document a program, project, event or issue that results in a significant change that affects the local community, city, county or state

• Document a program, project, event or issue that involves prominent people, places or events

• Document a program, project, event or issue that resulted in media attention locally, statewide or nationally
HISTORICALLY SIGNIFICANT RECORDS

• AZSCAM
• SB 1070
• Central Arizona Project
• Town Ordinance
  outlawing houses of ill repute

WHAT HAPPENS TO THOSE RECORDS YOU SEND TO US?
WHAT HAPPENS TO RECORDS?

- Appraisal
- Arrange and describe records
- Provide reference services
- Preservation

From this:

IN THE BEGINNING THERE IS CHAOS!

- Many of our collections come in like this:
THE UGLY: NEEDS CONSERVATION

THE BAD: NO DISCERNIBLE ORDER
ACCESSION THE RECORDS

• Transfer Documentation
  ◦ Chain of Custody
  ◦ Admissibility in a Court of Law
  ◦ Transfer of legal ownership
  ◦ Maintain Provenance and Original Order
  ◦ Must be signed by Originating Agency

• Arrange secure and safe transfer of physical records

ACCESSION THE RECORDS

• How many?
  ◦ Boxes
  ◦ Volumes
  ◦ Microfilm
  ◦ Photographs
  ◦ Maps
  ◦ Electronic

• Identify record groups
ACCESSION THE RECORDS

- Where did the records come from?
- Who created the record?
- Date range of the records?
- What is the condition of the records?
- Level of processing needed?
CONSERVATION: DISINTEGRATING PAPER

ACIDIC PAPER WITH DAMAGE
Preservation pitfalls: These images were scanned from photographs and “burned” to a CD 5 years ago.
WE DESCRIBE AND INVENTORY RECORDS TO MAKE THEM ACCESSIBLE

Finding aid
• Historical note
• Scope and content note
• Processing note
• Box and folder inventory
• Location of materials
REFERENCE SERVICES

• On-site patrons
  – Patron interview (what are you researching?)
  – Instruction on how to use one-of-a-kind materials
  – Staff retrieves materials from closed stacks
  – Staff photocopies
  – Camera

FIRST FLOOR CROSS SECTION

Collection Storage
Collection Processing
Public Areas
Polly Rosenbaum History and Archives Building

SECOND FLOOR

Collection Storage
Collection Processing
Public Areas
ORIGINAL AND SCAN, OK CORRAL INQUEST
THE WORK YOU DO WILL DETERMINE WHAT RECORDS OF ENDURING VALUE SURVIVE

- Your work is so important!

TOGETHER, WE PUT THE PIECES TOGETHER
QUESTIONS?

GOT QUESTIONS?

Any Questions?
HELPFUL CONTACTS

Records Management Center (LAPR):
http://www.azlibrary.gov/records/
Phone: 602-926-3815
records@azlibrary.gov

Karen Gray
kgray@azlibrary.gov
Phone: 602-926-3817

Jerry Lucente-Kirkpatrick:
jkirkpatrick@azlibrary.gov
Phone: 602-926-3820

Dr. Melanie Sturgeon:
msturgeon@azlibrary.gov
Phone: 602-926-3720
Toll Free: 1-800-228-4710 (Arizona only)

State Ombudsman’s Office
http://www.azleg.gov/ombudsman/default.asp

State Attorney General – Public Records Publication
https://www.azag.gov/sites/default/files/sites/all/doc/agency-handbook/c06e.pdf

AIIM – Global Community of Information Professionals
http://www.aiim.org/

ARMA International
http://www arma.org/

Institute of Certified Records Managers (ICRM):
http://www.icrm.org/

National Archives and Records Management (NARA):
http://www.archives.gov/records-mgmt/

National Association of Government Archivists and Records Administrators (NAGARA):
http://www.nagara.org/index.cfm