



ARIZONA STATE LIBRARY,  
ARCHIVES AND PUBLIC RECORDS

A DIVISION OF THE ARIZONA SECRETARY OF STATE



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**Office of the Secretary of State  
Arizona State Library, Archives and Public Records  
Records Management Division**

**Records Center Use and Procedures**

**March 1, 2010**

**RECORDS MANAGEMENT DIVISION**

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# **Background**

## **Records Management Division**

The Records Management Division of the Arizona State Library, Archives and Public Records, a division of the Secretary of State's Office, is responsible for establishing standards, procedures and techniques for effective management of public records of Arizona state and local government agencies. The division operates preservation imaging operations, training classes, and a records center for semi-active and inactive state agency records. Pursuant to A.R.S. 41-151.13.2, the State Records Center is the only authorized records center for inactive state agency records. State agencies may operate or use other facilities for inactive records storage only with prior approval of the Director of the Arizona State Library, Archives and Public Records.

## **Records Center**

The Records Center offers low-cost, high-density, secure storage solutions for state agency records. The records transferred to the Records Center remain in the legal custody of the agency and all public records requests must be serviced by the agency—the Records Center will not service public records requests. All containers and requested files are tracked using barcode technology and can be tracked regarding location and last requestor.

The Records Center is located just west of the capital mall at 1919 West Jefferson Street in Phoenix. It was designed and constructed specifically for the storage of inactive state agency records. The original construction was completed in 1981 with two modular additions completed in 1991. The capacity for inactive records storage is 177,000, with an additional 49,000 cubic feet of storage for long term and permanent records at the Polly Rosenbaum Archives and History Building.

The Records Center storage areas are equipped with high density storage shelving, water sprinkler systems, 3 hour fire walls, and intrusion alarms. There is also a vault for vital records storage with a Halon fire suppression system and 4 hour fire wall. The Records Center vault houses microfilm, electronic tape storage, and selected essential records and is maintained at 62 degrees and 30 % humidity.

The Polly Rosenbaum Archives and History building has two storage bays for Records Center use. Records which will eventually be transferred to the Archives and History Division or have a minimum of 20 years retention are stored at the Polly Rosenbaum building. The storage units are maintained at 55 degrees and a relative humidity of 30 %. Each unit has a water sprinkler system. There is also a cold storage vault for master microfilm maintained at 38 degrees and 30 % humidity.

All Records Management Division employees undergo a background check, HIPAA training, IRS records training, and other training on confidential information. All visitors to the Records Center must sign in at the reception desk, and must be escorted in the Records Center Warehouse.

Every month, on average, the Records Center provides the following services:

2,100 box accessions

2,700 box destructions

2,650 Reference retrievals

700 refiles

Records center staff are available to provide advice and training on all records management issues and guidance on records storage systems. Questions regarding Records Center use should be directed to your designated agency Records Officer or to Records Center staff.

### **Differences from State Archives**

While the Arizona State Library, Archives and Public Records oversees the Records Management Division and the Records Center, it is separate from the History and Archives division, both physically and in purpose. The History and Archives Division, housed in the Polly Rosenbaum Archives and History Building, houses the noncurrent state and local government records of permanent and historical value. The custody of the records belongs to the History and Archives Division and staff service the public reference requests.

The records stored at the State Records Center still remain in the legal custody of the transferring agency. Access to records is limited to the agency's Records Officer and staff authorized by the Records Officer-- Records Center staff will not service public records requests for any agency.

## **Location and Contact Information**

Office of the Secretary of State  
Arizona State Library, Archives and Public Records  
Records Management Division  
1919 West Jefferson Street  
Phoenix, Arizona 85009  
Phone: 602-926-3815  
Fax: 602-256-2838

Web address: <http://www.lib.az.us/records/>

Hours: Monday through Thursday 8:00 am to 5:00 pm. The Records Center is closed Fridays, but emergency requests are serviced on Fridays by fax or e-mail request. Phone requests should not be sent on Fridays if records are needed that day.

## **Tours and Training**

Agency staff may tour the Records Center any time, and are always provided tours during on-site training sessions. All tours and training sessions are free of charge.

Records Management training is provided both at the Records Center and over the web. You may sign up for training on line at:

Training at the Records Center: <http://www.lib.az.us/records/training.cfm>

Webinar training: <http://www.lib.az.us/records/webinars.cfm>

Training on how to box up records and use the Records Center is provided as needed. Records Center staff will come to your agency to train, and it will be tailored to your needs and retention schedules.


## **Records Officer Designation**

Pursuant to A.R.S. 41.151.14 the head of each agency shall appoint a Records Management Liaison Officer who shall act as liaison to the Arizona State Library, Archives & Public Records. The coordinator, or Records Officer, must be at a level of management sufficient to direct the records management program in an efficient and effective manner.

The Library and Archives recommends that the Records Officer report to the director of the agency or to a director of operations. The agency also recommends that the Records Officer have the knowledge to work with information technologists to ensure that records in electronic formats are properly managed.

To designate an agency Records Officer, please have the head of your agency complete the following form and submit it to the Records Center:

Arizona State Library,  
Archives and Public Records



**NOTICE OF AGENCY RECORDS OFFICER**

Every agency in the State of Arizona is required to have a records management program and a designated records officer (ARS § 41-1366). The records officer "must be at a level of management sufficient to direct the records management program in an efficient and effective manner."

The Library and Archives recommends that the records officer report to the director or to a director of operations. The agency also recommends that the records officer have the knowledge to work with information technologists to ensure that records in electronic formats are properly managed.

Large agencies may wish to establish records officers for different divisions with the agency.

Please send the following information for each records officer to:

Karen Gray  
Records Management Specialist  
Records Management Division  
1919 W. Jefferson      Phoenix, AZ 85007      Voice: 602-924-3817  
E-mail: [kgray@lib.az.us](mailto:kgray@lib.az.us)

Agency Name	
Division, Department, or Unit Name	
Records Officer's Name	
Records Officer's Title	
Records Officer's Address	
Records Officer's Phone	
Records Officer's E-mail	
Does Records Officer have authority to set policy or procedure?	<input type="checkbox"/> Yes <input type="checkbox"/> No

Director's Signature \_\_\_\_\_
Date \_\_\_\_\_

Please contact Records Center staff to receive a copy of the form or visit our web site at:

<http://www.lib.az.us/records/pdf/Agency%20Records%20Officer.pdf>

Other responsibilities of the Records Officer include:

- Reviewing records transfer lists prior to transfer
- Insuring that records are packed in appropriate containers
- Designating agency staff who may access the records
- Reviewing Pre-disposition Authorization Release forms for final disposition of records

# Using the Records Center

## Access to Records

Records stored at the Records Center remain in the legal custody of the originating agency and it is up to that agency to keep track of them and service them.

Access to records will be granted only to Records Officers of the agency and to designated personnel from that agency. The Records Officer may designate up to five staff members per account code to access records. All designations must be received in writing on an annual basis, or when changes in personnel occur.

Records Center staff will not service public records requests for an agency. The agency is responsible for their records requests and only designated employees may request records retrievals. The Requesting agency should make contingency plans for requesting records if the designated personnel are out or unavailable to make retrieval requests.

If an individual not authorized by the agency needs to access records, they must be accompanied by agency staff with authorization to access those records or have permission in writing from an authorized person.

## Criteria for records storage

Records may be stored for state agencies that are on approved schedules for that agency or on the General Retention Schedule for all State Agencies. The following criteria must also be met:

- The agency must have a designated Records Officer.
- The agency must have an authorized schedule with an assigned retention in both the office and the Records Management Center and record series codes.
- The records must be inactive and have met their disposition in the office before being accepted.
- There must be at least one cubic feet of records to be transferred.
- The agency must be an Executive Branch agency. Legislative and Judicial agencies may store records with prior approval.
- Transmittal documentation must be completed properly.
- Records will not be accepted if they have six months or less left to their final disposition unless they are under litigation, audit, or other special circumstances apply.
- Records access should not exceed 1 access per one cubic feet of records per year.
- Copies of records should be weeded out and discarded before transfer.
- The event date that triggers the retention period for the records must have occurred, i.e. the case close date, end of fiscal year or calendar year date.

- The records may not be source documents that are duplicated on microfilm or digitized and stored electronically. Any exceptions must be approved by Records Center staff.

Master microfilm for State Agencies, counties, municipalities, and other state government agencies may be stored at the records center. Please contact the Preservation Imaging Lab to arrange this.

## **Preparing Records for Transfer**

Records that are on an approved schedule may be sent to the Records Center for storage. Most records are paper, but often computer disks, microfilm or fiche, x-rays, or other types of media are stored at the Records Center. **EVIDENCE IS NOT A RECORD AND WILL NOT BE ACCEPTED INTO THE RECORDS CENTER.**

The Records Management Division offers free training on procedures for using the records center. It is strongly recommended that all agency staff who box records attend the class.

The following procedures should be followed when getting ready to transfer records to the records center:

1. Offices should determine which records are eligible for transfer to the Records Management Center by a periodic (every 6 to 12 months) review of their disposition schedules. The office should make sure that the records are inactive, meaning they will be requested less than once per cubic foot per year.
2. Offices must contact the Records Management Center to request box barcode labels for each box they are sending over.
3. Standard records boxes must be used (see below for standards).

## **Box Standards**

Agencies must supply their own records storage boxes which meet the following criteria:

- Boxes must measure 12 inches wide by 15 inches long by 10 inches high.
- Boxes must have separate lids. No boxes will be accepted with fold over lids.
- Ideal boxes must be doubled walled and have a 250 pound burst weight.
- Only new boxes will be accepted—used boxes will not be accepted.

Standard records size boxes generally hold 1 cubic foot of letter or legal size records. Oversized boxes will be reboxed into standard records boxes and the agency will be charged for the box stock and staff time.

Containers which are of a different size than listed above must be approved before being accepted into the records center.

## **Barcode Labels**

Barcode labels are provided by the Records Center. Please contact the Records Center via e-mail or phone to obtain the number of labels needed. Labels are in numeric order and are not assigned to any specific agency until the box is transferred to the Records Center.

Barcode labels are provided in pairs. One label is to be placed on the box and the other on the Boxed Records Data sheet, as described below.

## **Packing Records**

Agencies must pack their records using the following procedures:

- To facilitate retrievals and final disposition of records, pack only one record series into any one box.
- Standard letter size records are packed on the 12 inch dimension while legal size records are packed on the 15 inch dimension.
- Two to four inches of space must be left in each box to accommodate handling of the records. This also allows additional space for interfiles or expansion of existing files.
- Records must be packed in an upright position in the order they are maintained in the office.
- All records should be in folders when possible. No hanging files or rubber banded records will be accepted. Hanging files inside of boxes do not fit on Record Center shelves, and rubber bands deteriorate within 1 year of arriving in storage, thereby mixing records together.
- Keep filing order intact. If there is no logical order that can be used for retrieving files, then the records must be put in order before being packed. Records Center staff must be able to quickly and easily locate a file within a box. If a file is requested and there is no logical order to the records, the entire box will be sent to the requestor for further searching.
- Special boxes may be used for x-rays, maps and plats, oversized or odd sized records with prior approval from RMC. Storage charges are based on the size of the cubic footage of the box.
- Record quantities of less than one cubic foot need to be retained by the agency until the record series has accumulated at least one cubic foot.
- Duplicate copies, blank forms, reference copies and any other non-record materials must be weeded out before transfer.
- Boxes should weigh no more than 35 pounds. If you can not lift the box, we can not either!
- Container hand holds should not be obstructed in any way, from the inside or outside. Do not tape over the handles.
- Do not tape over barcode labels.

- Boxes must not be overloaded and box lids should fit securely over the box when it is packed. Overstuffed boxes will be refused or reboxed at your cost.

When the containers are packed, place a barcode label (provided by the Records Center) underneath the handle on the 12 inch side of the box.

## Completing the Transfer Manifest

Complete the Transfer Manifest and the Box Transfer Data forms completely. Once they are completed send the ORIGINAL paperwork to the Records Center for approval. Once the paperwork is checked, a Records Center staff member will contact you to schedule a drop off or pick up date. ALL RECORDS MUST HAVE APPROVED PAPERWORK AND A SCHEDULED DATE FOR RECEIPT OF THE RECORDS OR THEY WILL BE DENIED.

## Transfer Manifest

The most current version of the Transfer Manifest must be used—older copies or photocopies will not be accepted. The current version can be found on the Records Center forms page at <http://www.lib.az.us/records/forms.cfm>.

<b>TRANSFER MANIFEST</b>													
<i>Agency - complete "white" areas. "Grey" area - for RMD use only.</i>													
Arizona State Library, Archives and Public Records Records Management Division 1919 W. Jefferson, Phoenix 85009 (602) 526-3815 <a href="http://www.azlibrary.gov/records/pdf/Transfer_Manifest.pdf">http://www.azlibrary.gov/records/pdf/Transfer_Manifest.pdf</a>				<table border="1" style="width: 100%;"> <tr> <td style="width: 50%;">AGENCY NAME</td> <td style="width: 50%;">AGENCY CODE*</td> </tr> <tr> <td> </td> <td> </td> </tr> <tr> <td>ORG. UNIT NAME</td> <td>UNIT CODE*</td> </tr> <tr> <td> </td> <td> </td> </tr> </table>		AGENCY NAME	AGENCY CODE*			ORG. UNIT NAME	UNIT CODE*		
AGENCY NAME	AGENCY CODE*												
ORG. UNIT NAME	UNIT CODE*												
ADDRESS					Phone #								
					( )								
CITY	AZ	ZIP	E-mail										
TOTAL NUMBER BOXES		BOX NUMBERS (inclusive) 0000 thru											
List individual boxes if there is a break in numbers:													
SENDER NAME (PLEASE PRINT)		SIGNATURE		DATE									
		X											
RECORDS MGMT DIVISION		SIGNATURE		DATE									
		X											
0-10 MILES	10-30 MILES	MILES TRAVELED (Outside Maricopa County)	TAPE EXCHANGE <input type="checkbox"/>										
			Description										
* See Agency's Records Retention Schedule (Agency Password)													
May, 2006													

When filling out the form, please do not use acronyms.

Only boxes which have never been physically transferred to the Records Center need to be listed on the Transfer Manifest. Please do not include box returns or records for destruction on this form.

A Transfer Manifest must be prepared for each shipment of records to the Records Center, and for each separate disposition schedule which records are being transferred for. When completing the form, do not abbreviate or use acronyms.

The following fields must be filled out:

- **Agency Name:** The name of the transferring agency.
- **Org. Unit Name:** This is the division or unit title.
- **Agency Code\*:** The agency code is found on the disposition schedule and is 3-5 digits long (example: A0E00). The Agency code designates the state agency the records belong to.
- **Unit Code\*:** The unit code is also found on the disposition schedule and designates the division the records belong to (example: FIN00). It is 3-5 digits long.
- **Address:** This is the physical address that the records are at.
- **Phone #:** The contact phone number to schedule the records pick up.
- **City:** City in which the records are located.
- **Zip:** Zip code in which the records are located.
- **E-mail:** The e-mail address of the contact person to schedule the pick up or delivery date.
- **Total Number Boxes:** The total number of new boxes which are represented on this manifest.
- **Box Numbers (inclusive):** List the numerical order of the barcode labels being transferred to the Records Center (example: 0000420021 to 0000420100). You must include all leading or trailing zeros.
- **List individual boxes if there is a break in numbers:** If there is a break in the barcode numbers being transferred, list it here (example: 0000420021-0000420050, 0000420055-0000420100, 0000425000). You must include all leading or trailing zeros.
- **Sender Name (please print):** The name of the person transferring the records to the Records Center. The name must be printed legibly.
- **Signature:** The signature of the person transferring the records to the Records Center.
- **Date:** The date the transfer sheet was prepared.
- **Records MGMT Division Signature:** The signature of the Records Center staff member who accepted the records physically into the Records Center.
- **Date:** The date the records were physically transferred to the Records Center.
- **0-10 miles:** The number of miles travelled by Records Center Staff. This will be completed by Records Center Staff.
- **10-30 miles:** This will be completed by Records Center Staff. The number of miles travelled by RC staff.

- **Miles Traveled (outside Maricopa County):** This will be completed by Records Center Staff. The number of miles travelled outside of Maricopa County.
- **Tape Exchange:** This will be completed by Records Center Staff. To be checked if the pick up included a back-up tape exchange.

Make and retain a copy of the Transfer Manifest for your files.

## Box Records Data

The most current version of the Box Records Data form must be used—older copies or photocopies will not be accepted. The current version can be found on the Records Center forms page at <http://www.lib.az.us/records/forms.cfm>.

BOXED RECORDS DATA										5/06
ATTACH DATA ENTRY BARCODE LABEL <b>HERE</b> IN NUMERICAL SEQUENCE <b>1</b>										
FROM					THRU					
RECORD SERIES CODE	INCLUSIVE DATES OF BOX CONTENTS	MO	YR	MO	YR					
Describe Box Contents										
ATTACH DATA ENTRY BARCODE LABEL <b>HERE</b> IN NUMERICAL SEQUENCE <b>2</b>										
FROM					THRU					
RECORD SERIES CODE	INCLUSIVE DATES OF BOX CONTENTS	MO	YR	MO	YR					
Describe Box Contents										
ATTACH DATA ENTRY BARCODE LABEL <b>HERE</b> IN NUMERICAL SEQUENCE <b>3</b>										
FROM					THRU					
RECORD SERIES CODE	INCLUSIVE DATES OF BOX CONTENTS	MO	YR	MO	YR					
Describe Box Contents										
ATTACH DATA ENTRY BARCODE LABEL <b>HERE</b> IN NUMERICAL SEQUENCE <b>4</b>										
FROM					THRU					
RECORD SERIES CODE	INCLUSIVE DATES OF BOX CONTENTS	MO	YR	MO	YR					
Describe Box Contents										

Each form is designed to capture data for 4 containers being transferred to the Records Center.

The form must be completed in numerical sequence as shown on the barcode label squares.

- **Attach Data Entry Barcode Label Here in Numerical Sequence:** Place one barcode label here and one on the box on the short end below the handle.
- **Record Series Code:** The record series code is the six digit code found on your retention schedule or the 1-6 digit code found on your disposition schedule. Write the code here and include the leading zeros found on your retention schedule (there are no leading zeros on the disposition schedules).
- **From MO/YR:** Include the month and year from the earliest disposition date (e.g. fiscal year, calendar year, end of month, case close date) found on the records in the box.
- **Thru MO/YR:** Include the month and year from the latest disposition date (e.g. fiscal year, calendar year, end of month, case close date) found on the records in the box.
- **Describe Box Contents:** Enter the alpha or number range of record in the box, i.e. the first record to the last records. Do not exceed 245 characters.

Make and retain a copy of the Boxed Records Data Sheets for your files.

The Records Center can maintain file and document level records for agencies. If it is necessary to itemize the box contents beyond the alpha or numeric file range allowed for on the Boxed Records Data Sheet, contact the Records Center. There will be an additional charge for entering a more detailed inventory of each box.

## **Approval of Box Transfers to the Records Center**

When the containers, Transfer Manifest, and Box Data Entry sheets are all prepared and the records are ready to be physically transferred to the Records Center, send the original Transfer Manifest and Box Data Entry sheets to the Records Center for review. Records Center staff will review the paperwork to make sure that account codes are correct, all in-office retentions have been met, and that the records have at least six months or more left on their retentions.

If the paperwork needs further work or clarification, Records Center staff will contact you to do so.

## **Scheduling Box Transfers**

Once the review is complete, Records Center staff will contact the person on the Transfer Manifest to arrange a pick up or drop off date. Records Center staff will work with the contact to arrange a pick up or drop off date for Tuesdays through Thursdays.

When Records Center staff pick up or receive boxes, they will check to make sure that all boxes on the transfer manifest are included. Boxes will not be accepted if they are damaged, overstuffed, contain hanging file folders, not properly labeled, or have tape

over the handles or barcode labels. If Records Center staff must wait for the contact because they are not there or the boxes are not ready, additional wait charges, as listed in the price list, will be applied to your agency account with a minimum of one hour of staff time charged for the wait.

The contact person must be available at the pre-arranged time of the pickup to answer any questions which may arise and aid warehouse staff gaining access to the building. They must accompany Records Center staff through all locked entrances, all security gates, elevators, and areas of the building the Records Center staff must access. It is the responsibility of the contact to arrange for all containers to be easily accessible. If the contact is unavailable or Records Center staff has problems gaining access to the building, wait fees will be charged in accordance with the Records Center fee schedule.

Deliveries are accepted by pre-arrangement on Tuesday-Thursday between 8:00 am and 1:00 p.m. If agency staff need help unloading boxes to bring into the Records Center, they will be charged Records Center staff time for assistance in accordance with the Records Center fee schedule.

### **Stacking Boxes for Pickup**

For stacking unpalletized boxes:

- Stack boxes on the floor six boxes high or less to prevent crushing.
- Boxes must be stacked in numeric order with the lowest box number on top:

1	7	13	19
2	8	14	20
3	9	15	21
4	10	16	22
5	11	17	23
6	12	18	24

- Keep boxes for each transmittal together in one location.

For palletized records:

- Use 40" x 48" pallets which are not damaged.
- Box labels must face out.
- Arrange containers numerically on the pallet.
- Do not exceed 48 containers per pallet or stack containers more than 6 high.
- All pallets must be wrapped in clear shrink wrap and be ready for transport.

## Records Retrievals

Records stored at the Records Center may be requested any time during normal business hours (Monday through Thursday 8:00 am to 5:00 pm). They may be requested in person, by phone, by FAX, by e-mail or by mail. Records will be pulled within 24 hours when the request is received before 12:00 noon. If the request is received after noon or if there is a high volume of requests, the records will be ready in 48 hours.

Only Records Officers or designated staff may request the records. Records Center staff will not service public requests, but refer the public to an agency Records Officer. Other agencies may review records in the company of the custodial agency staff or with written permission.

## Emergency Retrievals

Emergency retrievals will be pulled 2 business hours from the receipt of the request. Please make sure to clearly mark your request as a RUSH request. Additional fees are applied for emergency retrievals (the current fee is \$10.00 per file or box). If the emergency request is received via e-mail, the word RUSH must be in the body of the message and not just in the subject line. Emergency and RUSH are acceptable terms for emergency retrievals—Stat and ASAP should not be used.

## After Hours Retrievals

After hours retrievals are available also. For emergency retrievals on Fridays between the hours of 8:00 am to 5:00 pm, please fax or e-mail the request (the normal \$10.00 emergency fee applies for Friday retrievals from 8:00-5:00). For all other emergency retrievals after hours (5:00 pm to 8:00 am, weekends and holidays) contact the Capital Police, who will contact Records Management Division staff. Current fees for after hours retrievals are \$50.00 per file or box, plus \$15.00 per staff hour per retrieval.

## Records Retrieval Information

When records are requested the following information must be provided:

- **Agency Code:** The agency code is found on the retention schedule and is 3-5 digits long (example: A0E00). The Agency code designates the state agency the records belong to. If you do not know your agency code, contact your records officer.
- **Unit Code:** The unit code is also found on the retention schedule and designates the division the records belong to (example: FIN00). It is 3-5 digits long. If you do not know your unit code, contact your records officer.
- **Requestor name**
- **Requestor phone number and extension**

- **Requestor address** (for delivery purposes)
- **Method of delivery:**
  - **Interagency mail**—Department of Administration operates an interagency mail program in the Phoenix area, as well as a courier service to Tucson. Please check to see if your physical address is serviced by DOA interagency mail. There are no additional fees for this service.
  - **U.S. mail**—for agencies not serviced by interagency mail. Additional fees apply.
  - **Courier shelf**—some agencies have couriers who come to the Records Center on a regular basis. If you are unsure if you have a courier, please contact the Records Center or your mail room to find out. There are no additional fees for this service. Courier pick up hours are available Monday-Thursday 8:00 am to 5:00 pm.
  - **Requestor pick up**—If you do not have a courier, you may pick up the records yourself. There are no additional fees for this service. Pick up hours are available Monday-Thursday 8:00 am to 5:00 pm. You must present a state ID badge for identification when picking up records. Records must be picked up by the requestor unless the requestor has identified a designee in writing.
  - **View**—You may request to view the records at the Records Center. There are no additional fees for this service. Viewing hours are available Monday-Thursday 8:00 am to 5:00 pm. You must present a state ID badge for identification when viewing records. Records must be viewed the requestor unless the requestor has identified a designee in writing.
  - **Delivery**—Records may be delivered to you. If this is requested, please provide a delivery address. Records Center staff will call you to arranged a delivery date and time. Additional fees apply for this service.
- **Container number**—refer to your box data entry sheets for the container number.
- **File title:** If a file is being requested, please provide a file title reflecting the arrangement of the records inside the box. **Do not include confidential information, such as social security numbers.**
- **Notification that records are ready:** If you wish to be notified via telephone or e-mail that your records are ready for pick up or view, please inform Records Center staff at the time of the request.

If records are not found, the requestor will be notified and the reason for the item not found is included. Also, if records are not picked up within one week of the request, they will automatically be re-filed.

If the requestor asks for a file and the records inside the box are not in order, the entire box will be pulled for the requestor. When the Requestor picks up the records, the retrieval request form must be signed and the requestor may make a copy of it for their records. Couriers must sign the form and make a copy to take back to the agency, as this shows all records found and not found, along with reasons why the records were unable to be located.

## **Refiles**



Records may be returned to the Records Center via interagency mail, U.S. mail, courier, or in person. It is imperative that the barcode label, attached when the record was retrieved, remain on the record that is returned so Records Center staff can refile the record. If the file is returned without a label, it will be treated as an interfile or returned to the agency Records Officer for further identification. The barcode label is used by the Records database system to link the record to the correct box number and location of that box. If you remove the barcode label and place it on a different file which belongs in a different box, the file will be refilled into the wrong container.

## Interfiles

Interfiles are individual records which are sent to the Records Center for placement in a box already in storage. Unlike refiles, interfiles have never been filed in the Records Center before.

Interfiles are done as Records Center staff are available. For expediency and cost savings, we recommend that agency staff request the containers and interfile records themselves.

All interfiles must be accompanied by an Interfile Transfer Cover sheet found on the Records Management Division web site at: <http://www.lib.az.us/records/pdf/Interfile.pdf>. Interfiles received without a cover sheet will be returned.

	ARIZONA STATE LIBRARY, ARCHIVES AND PUBLIC RECORDS Gladys Ann Wells, Director	
RECORDS MANAGEMENT		Lisa Maxwell Director
<b>Interfile Transfer Cover Sheet</b>		
Date: _____		
Account Code: _____		
Agency Name: _____		
Division Name: _____		
Sender Name: _____		Phone: _____
File Name or Case/Batch number		Box Number
<small>RECORDS MANAGEMENT DIVISION 1919 West Jefferson • Phoenix, Arizona 85009 • Home Page: <a href="http://www.lib.az.us">http://www.lib.az.us</a> Phone: (602) 926-3815 • FAX: (602) 256-2838 • E-Mail: <a href="mailto:kgray@lib.az.us">kgray@lib.az.us</a> An Equal Opportunity Employer</small>		

Please fill out a cover sheet for each interfile you send in:

- Date: Date the interfile is being sent to the Records Center.
- Account Code: This is both the agency code and unit code found on the disposition schedule and is 3-10 digits long (example: A0E00-AI100). If you do not know your agency account code, contact your records officer.

- Agency Name: The title of your agency (example: Department of Corrections).
- Division Name: The title of your division (example: Offender Services)
- Sender Name: The name of person sending the interfile into the Records Center.
- Phone: A contact phone number for the person sending in the record.
- File Name or Case/Batch number: The title of the file. Please limit the file title to 245 characters.
- Box Number: The barcode number of the container the record belongs in.

## **Overfilled Boxes**

Records Center staff will not accept boxes which are returned overfilled or with the lids not being able to fit on the container. If a retrieved file is returned that is too large or an interfile does not fit into the box, Records Center staff will create another container to place the records in and charge the agency all applicable fees for that service.

## **Reboxing Records**

When boxes have deteriorated and are no longer usable, handles break, or they are overstuffed, Records Center staff will rebox the records. Records Center staff will create another container to place the records in and charge the agency all applicable fees for that service.

## **Permanent Withdrawal**

If an agency requests records which will not be returned to the Records Center, please inform Records Center staff at the time of the request. This is particularly important for containers, as it will stop all charges for monthly storage fees for the containers.


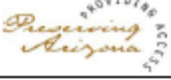
## **Change in Disposition Date**

If a case file is reopened or a record is reactivated, this will affect the final disposition date of the container. You need to contact the Records Center to request an update to the Box Records Data information so that the disposition date can be recalculated to reflect the appropriate date.

If an agency pulls a file and reactivates the record, please do not return it to the container that it was pulled from—this is because you will have changed the disposition date on the box. If you need to retain a record longer than the rest of the records in the box due to litigation, audits, or any other purpose, please send the record in a new container with a new Transfer Manifest and Box Data Entry Sheet. This will reflect the new retention of the record and insure that you are not disposing of the record before its time.

## Final Disposition of Records

On an annual or semi-annual basis Records Center staff will send a Pre-disposition Authorization Release Form to the agency Records Officer for review and approval. A Pre-disposition notification is created for each retention schedule that has records ready to be destroyed or transferred to the State Archives and History division. The final disposition date is calculated by adding the retention period, found on the retention schedule, to the “thru date” provided on the Box Records Data sheets.

	<b>ARIZONA STATE LIBRARY, ARCHIVES AND PUBLIC RECORDS</b> Gladys Ann Wells, Director	
RECORDS MANAGEMENT		LISA MAXWELL Division Director
<b>PRE-DISPOSITION RELEASE FORM</b>		
Date: _____		
Agency Name: _____		
Division Name: _____		Section or Unit: _____
Address: _____		
Records Officer: _____		Phone: _____
Method of Disposition: <input type="checkbox"/> Transfer to State Archives <input type="checkbox"/> Return to Agency <input type="checkbox"/> Destroy by: <input type="checkbox"/> Shredding		
<p>The list of scheduled records attached to this release form are to be disposed of in thirty days in the manner checked above. Your signature below attests that no unresolved or foreseeable (1) audit questions, (2) investigations, (3) civil suits or criminal prosecutions, or (4) other reasons for holding up destruction or transfer exist.</p> <p>If the disposition of records is to be delayed, list the reasons in the space indicated and provide a revised disposition date. Any records not authorized for destruction/transfer (except for the reasons given below) will be returned to the originating agency for further retention due to space limitations in the Records Center or charged \$1.00 per box per month storage as listed in the Records Services Price List.</p> <p>Confidential destruction (shredding) of records will be assessed a \$3.00 fee per box.</p> <p>Please sign this Release Form and return it to the Records Management Division. Upon receipt of this signed release, the Records Management Division will review the records with the State Archives for possible transfer of historically significant records. Should the Archives identify any records as such, you will receive notification of the transfer of legal custody of the records. Otherwise, the Records Management Division will make arrangements for the records to be destroyed. One copy of the Release Form will be returned to you showing the date of destruction.</p>		
<input type="checkbox"/> Approved <input type="checkbox"/> Not Approved Reason and revised date for records disposition hold: _____		
Confidentiality restrictions require special handling for the destruction of these records: <input type="checkbox"/> No <input type="checkbox"/> Yes		
Cite law or regulation which places confidentiality restriction on these records: _____		
Name _____		
Title _____		Date _____
Signature _____		
For Records Management Division Use: <input type="checkbox"/> The records listed above were destroyed on _____ <input type="checkbox"/> The records listed above were transferred to the State Archives. <input type="checkbox"/> Selected records were accessioned into the State Archives and the remainder were destroyed on _____. Karen C. Gray Name _____ Records Management Specialist Title _____		
Signature _____		Date _____
<b>RECORDS MANAGEMENT DIVISION</b> 1919 West Jefferson • Phoenix, Arizona 85009 • Home Page: <a href="http://www.lib.az.us">http://www.lib.az.us</a> Phone: (602) 926-3815 • FAX: (602) 256-2838 • E-Mail: <a href="mailto:kgray@lib.az.us">kgray@lib.az.us</a> An Equal Opportunity Employer		

It is the responsibility of the agency to review the Pre-disposition Authorization Release Form for accuracy and advise the Records Center of any required corrections. No records are disposed of without signed approval from the agency responsible for the records. If the records are required because of legal, audit or investigative reasons, or if

the agency is in the process of updating their retention schedule to increase the retention period of the records, that should be noted on the form sent to the agency and returned to RMC.

The agency has 30 days from the date the Pre-disposition Authorization Release Form is sent to the Records Officer to respond. The 30 day period is the time for the agency to review the records and inform the Records Center of any pending litigation, audits, or need for disposition extensions. If an agency does not respond, the records will be returned to the agency, at their cost, for further retention.

Pre-disposition Authorization Release Forms which are signed must be returned to the Records Center for processing. The State Archivist will review the Pre-disposition Authorization Release Form and designate any records which may have long-term historical value to be transferred to the History and Archives Division.

When all reviews are completed, the records will be destroyed by shredding, transferred to the State Archives, or returned to the agency for review, as the Retention and Disposition schedule dictates. Once all actions for the records are completed, Records Center staff will sign the Pre-disposition Authorization Release form and send a copy to the Records Officer for their files. The original signed copy will be retained by the Records Center as the permanent record pursuant to ARS 39-101.

For all boxes which are destroyed, the agency will be charged \$3.00 per container for shredding fees. If an agency wishes to dispose of their own records, please contact Records Center staff to make pick up arrangements.

If the Pre-disposition Authorization Release Forms is not approved, or any individual boxes are not approved, then the Records Officer must note that. A valid reason for the disposition hold, such as pending litigation, audit, or retention change, must be provided, and a revised disposition date must be provided. If no information is provided, the container will be returned to the Records Officer for further retention.

## **Disaster Recovery Services**

### **Tape Exchange**

The Records Center offers a service of storing back up tapes, hard drives, and other magnetic media in a temperature and humidity controlled vault for state agencies. Agencies may store these media in the Record Center vault on a self-services basis or may have Records Center staff arrange to drop off and pick up media on a regular rotation or on call.

If an agency is on a weekly, bi-weekly or monthly rotation schedule and no longer needs the service, please have the Records Officer contact the Records Center to discontinue the service. It is up to the agency to inform the Records Center the day before a tape exchange is scheduled if it needs to be cancelled.

The agency must provide a carrying case for the media being exchanged. If the media is not ready to be exchanged at the designated pick up time, the agency will be charged a minimum on 1 hour wait time in accordance with the Records Center fee schedule.

Agency staff exchanging tapes or other media on a self-service basis must:

- Be on a current authorization list.
- Present a state photo ID badge.
- Sign in at the front desk.
- Enter the vault and leave the door open when exchanging media.
- Close the vault door tightly when exiting.
- Sign out when leaving the Records Center.