



Records Officer Handbook

**Guidance and Requirements for State and Local Agency
Records Officers and Records Custodians**

RECORDS MANAGEMENT BRANCH
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SECTION 1: INTRODUCTION

41-151.15(A) – State and local public records management; violation; classification; definition

“The head of each state and local agency shall...

6. Designate an individual within the agency to manage the records management program of the agency. The agency shall reconfirm the identity of this individual to the state library every other year. The designated individual:

- a. Must be at a level of management sufficient to direct the records management program in an efficient and effective manner.*
- b. Shall act as coordinator and liaison for the agency with the state library.*

The role of designated Records Officers (RO's) is vital in the management of Arizona's public records. The head of each state and local agency is responsible for ensuring the proper management of these public records as outlined in [Arizona Revised Statute \(ARS\) §41-151.14](#). The Arizona State Library, Archives, and Public Records (LAPR) has developed the *Records Officer Handbook* to assist RO's in the management, retention, and destruction of public records in accordance with applicable Arizona statutes. LAPR recommends that RO's report directly to the designated official of their agency (i.e. Director, Head of Agency). LAPR also recommends that agencies designate RO's who have the knowledge and skills necessary to work in collaboration with information technologists to ensure that records in electronic formats are also properly managed.

Above all else, LAPR recommends that public records are properly managed in accordance with key concepts of information governance, including:

- Information Life-Cycle Management
- Accuracy and Integrity
- Authenticity
- Security and Privacy
- Business Continuity
- Accountability
- Protection, Retention, and Disposition
- Compliance and Availability

RECORDS OFFICERS ARE PRIMARY LIAISONS

The designated RO serves as the primary liaison between their agency and the Records Management Branch at LAPR. This role is critical for maintaining effective records management practices and ensuring compliance with relevant rules and regulations.

SUPERVISORY ROLE OF RECORDS OFFICERS

- RO's may oversee multiple records management staff or custodians within their agency.
- These staff members should report directly to the RO for guidance and support.

COMMUNICATION PROTOCOL

1. Agency staff should direct records management inquiries directly to their RO first.
2. The RO is responsible for addressing and resolving issues within the agency.
3. If an issue cannot be resolved internally, the RO should be the one to contact the Records Management Branch at LAPR for further assistance.

IMPORTANCE OF CENTRALIZED COMMUNICATION

Adhering to the above communication protocol ensures:

- Consistent application of records management practices across the agency.
- Efficient resolution of issues.
- Clear and organized communication between the agency and the Records Management Branch at LAPR.

WHO CAN BE DESIGNATED AS A RECORDS OFFICER?

The statutory provisions for individuals designated as RO's are specified in ARS §41-151.14.

The head of each state and local agency **must** complete the Notice of Agency Records Officer form to designate one (1) agency RO. It is also mandatory that the appointing official notifies LAPR of any changes in RO details by submitting the form when changes occur. This includes changes in name or contact information.

Designated RO's typically work in and/or have knowledge in the following fields:

- Records Management
- Administration
- Clerk's Office Functions
- Legal or Agency Council
- Risk Management

WHO CAN APPOINT A DESIGNATED RECORDS OFFICER?

The head of each state and local agency must appoint an individual as the agency's designated RO. Some of the common position titles that can appoint a designated RO include, but are not limited to:

State Agencies, Boards, and Commissions: Chairman/Chairwoman, Board Leadership, Commission

Counties: Chairman/Chairwoman, Board of Supervisors

School Districts and Charter Schools: Superintendent, Charter Holder

Educational Institutions (i.e. community colleges, universities): President, Executive Director

Special Districts: Head

SECTION 2: GUIDANCE FROM LAPR FOR RO'S

Our goal in the Records Management Branch at LAPR is to empower RO's across state and local agencies with the knowledge and tools necessary to effectively manage records. RO's are essential stewards in safeguarding records that hold enduring value for Arizona's history and governance. We aim to support RO's in fulfilling their critical role and responsibilities by providing comprehensive guidance on navigating the complexities of records management, including the identification, management, collection, preservation, and accessibility of records under their care.

As an RO, your role and responsibilities are pivotal in ensuring compliance with state records statutes and promoting efficient records management practices within your agency. You are entrusted to exercise authority over your agency's records management practices, overseeing retention, destruction, and imaging processes. It is your duty to implement and enforce records management policies and procedures and serve as your agency's subject matter expert. An RO should provide essential training to staff, disseminate critical LAPR records information, and collaborate with various stakeholders including elected officials, risk managers, disaster planners, information technologists, privacy officers, legal counsel, and fellow records officers or managers.

LAPR strives to offer robust support through our website and services, providing access to updated guidance, retention schedules, standards, training modules, and necessary forms. It is our goal to equip RO's with the resources needed to succeed in managing your agency's records effectively and in alignment with all legal requirements.

Together, we uphold the integrity of Arizona's records, ensuring they remain accessible for both present and future generations.

SECTION 3: WHAT IS A RECORD?

ARS §41-151.2(A) defines records as “...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 information and historical value of data contained in the record.”

It is commonly assumed that records only include paper materials. However, as stated in the definition of a record, the phrase “regardless of physical form or characteristics” means that records can exist in a variety of formats. This includes, but is not limited to:

- Computer-Based Records
- Motion Pictures
- Audio and Video Recordings
- Charts, Maps, Drawings, and Plans
- Geographic Information System (GIS) Records
- Micrographics
- Social Media Content
- Photographs (Both Still and Electronic)

When uncertainty exists in determining whether a specific file or files qualifies as a record or non-record, agencies should treat them as records. If necessary, LAPR is available to assist with this critical determination.

SECTION 4: MANAGEMENT OF AGENCY RECORDS

To ensure compliance with Arizona Revised Statutes, agency heads must establish and promote a records management program as outlined in ARS §41-151.14(A)(1) and §41-151.14(B). Specifically, the head of each state and local agency is required to:

- Seek advice and assistance from LAPR in establishing a records management program.
- Establish and maintain an active, continuing program for the economical and efficient management of the public records of the agency.
- Promote the principles of efficient records management for public records.

In ARS §41-151.14(D), records management is defined as *“creating and implementing systematic controls for records and information activities from the point where they are created or received through final disposition or archival retention, including distribution, use, storage, retrieval, protection, and preservation.”*

An integral component of a state and local agency’s records management program is the designated RO. The RO ensures that agency procedures are documented, agency and LAPR policies are enforced, and agency members are informed about the program and its updates.

If an agency does not yet have a records management program in place, the agency head and/or designated RO is responsible for its establishment. LAPR helps in this process by providing advice and guidance on records management practices.

Agency heads also have the responsibility, per ARS §41-151.14(A)(2), to *“create and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency, designed to provide information to protect the rights of the state and individuals directly affected by the agency’s activities.”*

For public records requests, individuals should direct their inquiries to the specific agency that holds the records. Title 39 of the Arizona Revised Statutes governs public records requests, mandating that public records and other materials under the custody of any public officer must be available for inspection by any person during normal business hours.

SECTION 5: AGENCY-WIDE RESPONSIBILITIES

Designated RO's should collaborate with all units of their agency to ensure proper preservation and disposal of records. The RO may establish a records committee to include a lead person from each department, division, or unit, who works with the RO in managing records. This committee can:

- Share relevant records and information management updates.
- Coordinate disposal efforts annually, semi-annually, or as needed.
- Organize agency-wide records management and privacy/security training.
- Regularly review, create, monitor, and update agency records management policies and procedures.
- Assess current retention schedule(s) for relevance *at least* every two years.
- Develop, revise, and manage reporting and approval documents, including essential records and imaging requests.

SECTION 6: RETENTION SCHEDULES

A retention schedule is a document mandated by ARS §41-151(A)(3) that outlines record series that must be retained for administrative, legal, or fiscal purposes. The RO is responsible for distributing LAPR-approved retention schedules to all agency departments, divisions, branches, and units.

It is important to note that retention schedules do not replace the exercise of good judgement. Records necessary for audits, investigations, or legal proceedings beyond the recommended retention period must be retained until authorized for disposal by the relevant authority.

Revisions to retention schedules involve collaboration between agency RO's and LAPR.

GENERAL RETENTION SCHEDULES

General retention schedules are comprised of records series that are common to all agencies and ensure consistent and standardized retention periods. General retention schedules exist for the following types of public bodies in the state of Arizona:

- State Agencies, Boards, and Commissions
- Counties
- Municipalities
- Community Colleges and Other Higher Education Institutions
- School Districts and Charter Schools
- Special Districts (Lighting Districts, Irrigation Districts, Library Districts, etc.)
- Fire Districts

CUSTOM RETENTION SCHEDULES

Custom retention schedules are only permitted in cases where a public body is creating records series that are truly unique to a specific state or local agency. LAPR is progressing toward developing a comprehensive general retention schedule, aiming to phase out most custom retention schedules currently in use.

ZASIO is the retention schedule application utilized by LAPR. It manages retention schedules, facilitating efficient records management for state and local agencies in Arizona. The database of retention schedules can be accessed at <https://arizona-cwa.zasiocloud.com/retweb/default.asp>.

SECTION 7: PRESERVATION OF RECORDS

RO's, along with all custodians of public records, are obligated under ARS §41-151.15(A) to safeguard and maintain records in all formats – whether paper, digital, microfiche or film. All records created or received by public officials or employees of state and local agencies are state property. Additional responsibilities include, but are not limited to:

- Ensuring the careful protection and preservation of records to prevent deterioration, mutilation, loss, or destruction.
- Arrangement for proper repair and/or restoration of records, when necessary.

Additionally, RO's should consider the following aspects as part of their preservation duties:

- Records storage practices
- Care and restoration of records

There are several key components that affect the preservation of records. Due to the inherent instability of analog and electronic records, no file format or storage media is permanent. All media formats including paper, digital, and microfilm are susceptible to degradation, corruption, and inadvertent destruction. The main components that can affect the preservation of records include:

- Light
- Temperature
- Humidity
- Pollutants
- Handling
- Shelving
- Labeling

For additional information on caring for records, please refer to LAPR's Media Storage and Handling of Long-Term and Permanent Records Guidelines.

LAPR's *Conservation, Disaster Preparedness and Emergency Recovery* webpage provides additional information on conservation, disaster preparedness, and recovery. In addition, the State Archives Branch is available to answer questions regarding conservation and preservation.

SEE TABLE 1.1 ON THE NEXT PAGE FOR GOOD, BETTER, AND BEST PRACTICES/CONDITIONS

TABLE 1.1

BEST

- Locked *and* badge-accessed storage area
- Steady temperature of 65 degrees Fahrenheit (+/- 5) with consistent monitoring and record of results
- Steady relative humidity level of 45% (+/- 5) with consistent monitoring and record of results
- Steel shelving with bottom shelf *at least* 4 inches off of the floor to protect from minor flooding
- No windows or unfiltered UV light inside storage area
- Fire alarm system, directly connected to local fire department and a wet pipe sprinkler system
- Smoke and heat detectors, installed in consultation with fire professionals
- Conduction of regular fire drills
- Regular inspections by local fire department
- Separate, secure storage area for historical records with limited access and no food, drinks, plants, etc. allowed
- Consistent monitoring for pests
- Air ventilation system with filters installed and changed consistently
- Water detection system installed

BETTER

- Badge-accessed storage area
- Steady temperature that does not fluctuate more than 5 degrees Fahrenheit with periodic monitoring of results
- Steady relative humidity level that does not fluctuate more than 5% and is monitored periodically
- Steel shelving with bottom shelf *at least* 4 inches off of the floor to protect from minor flooding
- No windows or unfiltered UV light inside storage area
- Fire alarm system, directly connected to local fire department
- Smoke and heat detectors, installed in consultation with fire professionals
- Consistent monitoring for pests
- Air ventilation system with filters installed and changed consistently

GOOD

- Locked storage area
- Steady temperature with as little daily fluctuation as possible
- Steady relative humidity level with as little daily fluctuation as possible
- Fire alarm system, directly connected to local fire department
- Consistent monitoring for pests
- Air ventilation system with filters installed and changed consistently

SECTION 8: ESSENTIAL RECORDS

Essential records, also known as vital records, are crucial for maintaining or restoring an organization's operations during and after a disaster. Business continuity, disaster preparedness, and Continuity of Operations Plans (COOP) hinge on identifying and safeguarding these essential functions and records.

To comply with ARS §41-151.14(A)(5), RO's should:

- Review the guidelines for Establishing an Essential Records List and related documentation.
- Submit updates to the Essential Records List *at least* every 5 years.

While state statutes mandate that each state and local agency submit a list of essential public records to LAPR *at least* every 5 years, it is advisable to review the list annually to account for any important changes. Updates to an agency's Essential Records List should be made promptly whenever records are added or removed from retention schedules, relocated, or their designation changes. The RO or a designee responsible for this task should collaborate with subject matter experts to identify essential records across all units within an agency.

SECTION 9: RECORDS SECURITY AND PRIVACY

Another critical responsibility of RO's involves the safeguarding of the security and privacy of records and the information contained in them.

RO's must ensure that records are securely stored to prevent vandalism, theft, and other unlawful acts. While the public generally has access to most public records, access should be monitored to uphold record integrity. Pursuant to ARS §39-121.01(C), it is imperative to maintain the authenticity, integrity, and trustworthiness of public records over time. Records must be shielded from both accidental *and* deliberate alterations, as well as from inadvertent or intentional disposal, deletion, or destruction, to uphold individual and agency privacy rights and legal obligations.

For more specific security and privacy laws or guidance, refer to the following:

- Arizona Attorney General's *Handbook for State Agencies, Chapter 6 – Public Records*.
- Health Insurance Portability and Accountability Act (HIPAA), 45 CFR 160, 162, and 164.
- Health Information Technology for Economic and Clinical Health Act (HITECH), 42 U.S.C. §§300jj et seq.; 42 U.S.C. §§17901 et seq.
- Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. §1232g; 34 CFR Part 99.
- Payment Card Industry Data Security Standard (PCI DSS) for security of credit card information.
- Internal Revenue Service (IRS) Publication 1075 on housing requirements for tax records.

Statewide Information Security and Privacy policies, and related Statewide Security and Privacy Standards for information on identifying and maintaining the Confidentiality, Integrity, and Availability (CIA) of data in records are in the process of being revised.

SECTION 10: RECORDS IMAGING

ARS §41-151.16(A) allows agencies and public entities to implement programs for reproducing records using photography, microfilm, digital imaging, or other electronic media. While agencies can catalog and index these reproductions, they **must** obtain approval from LAPR before initiating such projects if the retention period exceeds 10 years.

LAPR must approve through the Imaging Request process:

1. Type(s) of records being reproduced.
2. Method(s) of production, reproduction, and storage.
3. Equipment and software involved.
4. Destruction of source documents.

Important Considerations:

- Reproduced records may become the official record (ARS §41-151.15(A)).
- Refer to ARS §44-7041 for guidelines on creating, retaining, and converting written records.
- Violation of this section by any agency head or political subdivision leader is a Class 2 Misdemeanor (ARS §151-14.16(B)).

Depending on an agency's imaging project(s), refer to the following standards prior to completing the Imaging Request form:

- [Minimum Standards for Digital Imaging or Scanning of Textual Documents](#)
- [Minimum Standards for Scanning Photographs](#)
- [Minimum Standards for "Born Digital" Photography](#)
- [Guidance on Arizona Standards for Permanent Records](#)

**These standards, written by what was formerly the Archives and Records Management Branch at LAPR, are based on international, national, and industry research, standards and guidelines in microfilming and the digitization of records. They were also written based on the risk of loss of records due to file format migration, readability, clarity, authenticity issues, and bit rot over extended periods of time.*

SECTION 11: PERMANENT RECORDS

Permanent records are those with enduring historical or research value, as defined in LAPR guidance for *Permanent and Historical Records*. This includes:

- Records listed as “Permanent” on approved retention schedules (general or custom).
- Records deemed historical.

Retention of Permanent Records:

1. When no longer in current use, agencies and public bodies may:
 - Transfer records and legal custody to the State Archives (ARS §41-151.09).
 - Maintain records according to the “Standards for Permanent Records”.
2. Requirements for retaining custody of permanent records:
 - Strictly follow the “Arizona Standards for Permanent Records”.
 - Comply with ARS §39-101 Standards

Below are some important requirements, if retaining custody of permanent records:

Paper

- Maintain in a cool, dry environment.
- Inspect annually and document the process and outcome.
- Contact State Archives for transfer.

Microfilm/Microfiche

- Store in proper conditions.
- Inspect annually and document the process and outcome.
- Maintain silver and use copies separately.

Electronic/Digital and Analog Formats

- Document all required verifications upon system, storage media, or format migration.
- Inspect annually and document the process and outcome.
- Complete annual inspections of all electronic/digital and analog records.

Transferring Records to the State Archives:

To initiate the transfer of records, contact the Archives Branch at LAPR. When transferring records, RO’s should plan no more than two (2) records transfers per record series, per calendar year.

SECTION 12: RECORDS DISPOSITION AND DESTRUCTION

RO's are responsible for reviewing the agency's records to determine the eligibility for final disposition according to general and/or custom retention schedules. If records are stored with Iron Mountain, RO's shall work with Records Analysts at LAPR to initiate the process for final destruction.

When records meet their final disposition date, according to their retention schedule, they are either destroyed or transferred to the State Archives.

Destruction Eligibility:

1. Review records against **current** retention schedule(s) to ensure that the retention period has passed.
2. Check for any ongoing or foreseeable official proceedings (e.g., audits, litigation, government investigations). Records should be retained until released from such proceedings.
3. For records containing confidential information, refer to ARS §44-7601.

Important Notes:

- Permanent records are **NEVER** authorized for destruction but may be transferred to the State Archives for permanent retention.
- Records stored at Iron Mountain require coordination with Records Analysts at LAPR for final destruction.

Methods of Destruction

Paper:

The most desirable method of destruction for **non-confidential** records is recycling.

For **confidential records**, the following destruction methods should be used:

- Shredding
- Pulping
- Macerating
- Burning

These services should be performed using an in-house shredder, Iron Mountain, or a vendor certified by the National Association for Information Destruction (NAID).

Microforms

Microforms include microfilm or microfiche and could be silver masters or diazo copies. Microforms may be shredded, but if silver masters or duplicates exist, they should go through the silver recovery process first.

For proper destruction of microforms, the following methods should be used:

- Shredding
- Silver Recovery

Electronic Records

Electronic records are commonly found in the following formats:

- Hard Drives
- Handheld and Mobile Computing Devices
- Network Devices
- Copy and Fax Machines with Memory
- USB Removable Devices
- CD's/DVD's and Optical Discs

Prior to disposing of the above types of equipment or media, determine if sanitization is required.

Different types of sanitization or disposal methods exist for each type of media. These include:

- Shredding
- Degaussing
- Overwriting
- Drilling

Records Destruction Reporting

Annual Reporting Requirement (ARS §41-151.19):

- RO's should submit, at least once annually, a Certificate of Records Destruction for all records destroyed by their agency.

Reporting for Records Not on Approved Retention Schedules:

- If RO's determine that records have met their legal, fiscal, and administrative needs for the agency, a Certificate of Records Destruction should still be submitted for those records.

Reporting Premature Destruction (ARS §39-121.01(C)):

If records are inadvertently destroyed before their scheduled disposition date:

1. Contact the Records Management Branch at LAPR for guidance.
2. Submit a Notice of Destruction Prior to Records Disposition Date.

SECTION 13: USE OF IRON MOUNTAIN SERVICES

The Records Management Branch staff at LAPR will work closely with state agencies to use the record storage solutions offered by Iron Mountain. State agencies may operate or use other facilities for transitory and/or inactive records storage **only** with prior approval by the Director of LAPR. Other public bodies, legislative, and judicial branches may use any reputable records storage solution that assists them in their records management goals.

Responsibilities of RO's for Agencies Using Iron Mountain Storage Solutions:

1. Identify records for storage and transfer.
2. Designate agency staff who may access the records.
3. Designate IT personnel for disaster recovery efforts.
4. Ensure proper packaging of records in appropriate containers.
5. Review and sign the Certificate of Records Destruction form for final disposition of records.
6. Manage inventory reports by a) requesting reports from Iron Mountain, or b) generating own reports.

APPENDIX A: RECORDS MANAGEMENT STATUTES

Statue Number	Title and Description
<u>39-101</u>	<i><u>Permanent public records; quality; storage; violation; classification</u></i> Provides instructions for maintaining permanent public records in durable form; permanent public records must be maintained per standards set forth by LAPR.
<u>39-121</u> <u>39-121.02</u> <u>39-121.03</u>	<i><u>Inspection of Public Records</u></i> Public records shall be available to anyone during office hours; explains procedures regarding public records requests including appealing records request denials and provides the agency’s statutory regulation regarding costs in reproducing records.
<u>41-151.09</u>	<i><u>Depository of official archives</u></i> The State Archives is the official repository of all permanent public records for state officers and departments of the state of Arizona, as well as the counties, incorporated cities, and towns.
<u>41-151.14</u>	<i><u>State and local public records management; violation; classification; definition</u></i> Defines the duties of agency heads and other governing bodies regarding records management.
<u>41-151.15</u>	<i><u>Preservation of public records</u></i> Explains the responsibility of protecting, preserving, and repairing records. Also discusses records disposition.
<u>41-151.16</u>	<i><u>Production and reproduction of records by agencies of the state and political subdivisions; admissibility; violation; classification</u></i> Requires agencies to get permission prior to implementing an imaging program, including microfilm and digital imaging.
<u>41-151.19</u>	<i><u>Determination of value; disposition</u></i> Discusses the determination of records value and the requirement to submit annual records destruction reports.

<p><u>44-7041</u></p>	<p><i><u>Creation; retention; conversion of written records</u></i> Allows agencies to create and retain electronic records and convert written records to electronic records.</p>
<p><u>44-7601</u></p>	<p><i><u>Discarding and disposing of records containing personal identifying information; civil penalty; enforcement; definition</u></i> Provides statutory requirements for entities regarding proper disposal of records containing personal identifying information (PII).</p>

APPENDIX B: RECORDS MANAGEMENT RESOURCES

Associations and Councils

ARMA International (formerly the Association of Records Managers and Administrators)

www.arma.org

ARMA International is a professional association established in 1955 and provides information on records and information management (RIM) as a strategic asset. ARMA International provides resources such as legislative and regulatory updates, standards and best practices, publications, training, and networking opportunities through local and national activities.

Association for Information and Image Management (AIIM)

www.aiim.org

AIIM is an organization for information professionals providing access to records and information management resources such as market research, webinars, seminars, standards and best practices, and networking opportunities through membership events.

National Association of Government Archives and Records Administrators (NAGARA)

www.nagara.org

Founded in 1974, NAGARA is a professional association dedicated to the improvement of federal, state, and local government records and information management, as well as the professional development of government records administrators and archivists. Members include county, municipal, special district governments, state agencies (state records centers, archives, and libraries), and the National Archives and Records Administration.

National Archives and Records Administration (NARA)

www.archives.gov

The National Archives and Records Administration, established in 1934, is considered the nation's federal records keeper. They are the federal equivalent of each state's archives and records management program. NARA assists federal agencies and the public with research and reference services and provides educational programs and public workshops to help the public learn how to use archival records. NARA also runs a federal government records management program, which identifies records of permanent value while assuring the timely disposal of transitory records. In addition, NARA provides agencies with guidance on managing their current records. NARA provides resources such as guidance on a wide range of records management topics including electronic records, disaster recovery, and applicable laws and regulations.

National Association for Information Destruction, Inc. (NAID)

www.naidonline.org

NAID is an international trade association and standard setting body for information destruction service companies, which provide services such as secure paper shredding, computer hard drive destruction, and computer sanitization. NAID also provides resources on secure destruction and related topics, as well as information on certified providers of destructions services.

Council of State Archivists (CoSA)

www.statearchivists.org

CoSA, a national organization comprised of those serving as principal directors of state and territorial archives, seeks to strengthen state and territorial archives in their work preserving historical records. CoSA membership encourages cooperation among the states regarding matters of mutual interest and work on the national level, including work with NARA, NAGARA, and NASCIO. As part of their outreach, CoSA provides records management resources, including information on managing local records, emergency planning and response, electronic records, and essential records.

National Association of State Chief Information officers (NASCIO)

www.nascio.org

NASCIO, an association representing state chief information officers and senior information technology professionals, was formed in 1969. Members of NASCIO represent federal, municipal, and international governments, as well as non-profit organizations. NASCIO provides members with products and services supporting the exchange of information of IT best practices and innovations through national conferences, peer networking, research and publications, and briefings.

Regulations, Standards, and Standards Organizations

Code of Federal Regulations (CFR)

www.ecfr.gov

The Code of Federal Regulations (CFR) is the official and complete text of federal agency regulations in one organized location. The CFR is divided into 50 Titles covering various subject areas of federal regulations. The CFR is updated by amendments appearing in the daily *Federal Register*. Using the CFRs with the *Federal Register* provides the latest version of any given rule. The CFR often contains guidance regarding records requirements including the types of records required to be kept and for how long.

ISO 15489: International Standard of Records Management

ISO 15489 is an international recordkeeping standard first published in 2001, and designed to help organizations meet recordkeeping needs. The standard has two parts, ISO 15489 Part I: General – which provides a high-level view of best practices in recordkeeping, and ISO 15489 Part II: Guidelines – which provides advice for putting recordkeeping into practice, such as developing processes and procedures.

International Organization for Standardization (ISO)

www.iso.org

The International Organization for Standardization (ISO) is an independent, international organization comprised of 165 member countries that are the national standards bodies around the world. The ISO has published more than 19,500 standards covering many industries from technology to healthcare. The standards include ISO 15489, the International Standard of Records Management, and ISO 30300 – Management Systems for Records, which provides tools and guidance for several areas of records management and information technology. In addition, ISO provides briefing papers, summaries, and other standards-related information.

National Institute of Standards and Technology (NIST)

www.nist.gov

NIST is a non-regulatory federal agency within the Department of Commerce. NIST's mission is to promote innovation and industrial competitiveness by promoting measures of science, standards, and technology. NIST achieves its mission by working through several programs, including labs where it conducts research. NIST offers standards, technical publications, bulletins, and handbooks.

Payment Card Industry Data Security Standard (PCI DSS)

www.pcisecuritystandards.org

PCI DSS is a set of requirements designed to ensure that all companies and bodies that process, store, or transmit credit card information maintain a secure environment. It is administered and managed by the Payment Card Industry Standards Council (PCI SSC) with a focus on improving payment account security throughout the transaction process.

Listing of Forms and Other Resources for RO's

RO's should regularly check the LAPR website or contact the Records Management Branch to ensure that the correct version of all forms is being utilized at any given time. Below is a list of forms used by the Records Management Branch at LAPR and RO's:

Notice of Agency Records Officer

Certificate of Records Destruction

Pre-Approval for Unscheduled Records Disposition

Imaging Request Form: Non-Permanent 10 Years or More

Imaging Request Form: Permanent - For Web Dissemination Only

Minimum Standards for Digital Imaging or Scanning of Textual Documents

State Archives Permanent Record Transfer Form

Transfer of Records Between Public Bodies

Certificate of Compliance with State Standards for Processing of Permanent Micrographics