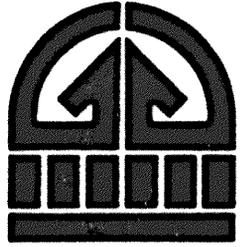


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National Conference of  
State Legislatures



PERFORMANCE AUDIT

**DEPARTMENT OF LIBRARY, ARCHIVES  
AND PUBLIC RECORDS**

Report to the Arizona Legislature  
by the National Conference of State Legislatures  
September 1989

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NATIONAL CONFERENCE OF STATE LEGISLATURES

A PERFORMANCE AUDIT OF THE  
DEPARTMENT OF LIBRARY, ARCHIVES AND PUBLIC RECORDS

A REPORT TO THE  
ARIZONA STATE LEGISLATURE

SEPTEMBER 29, 1989

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## SUMMARY

The National Conference of State Legislatures, under contract with the Arizona State Legislature, has conducted a performance audit of the Department of Library, Archives and Public Records in response to a June 7, 1987, resolution of the Joint Legislative Oversight Committee. The performance audit was conducted as part of the Sunset Review set forth in Arizona Revised Statutes Sections 41-2351 through 41-2379.

**The Effectiveness Of The Department Is Hampered By  
Several Personnel And Management Issues That Require The  
Attention Of The Department And The Legislature**  
(see pages 15 through 21)

The Department of Library, Archives and Public Records is an effective agency that carries out a number of complex roles and responsibilities. However, certain aspects of its operations could be improved to further enhance the department's performance.

The employees of the department should be made exempt from the state personnel system. All other legislative employees work under exempt status. The state personnel system imposes standards, systems and procedures that prevent the department from hiring and managing their employees in an effective manner.

We believe that exempt status would provide the department with the flexibility that it needs to develop a personnel system that meets the unique needs of its staff. Other legislative agencies have operated very successfully under exempt status. We have no reason to believe that DLAPR would not prosper under a similar personnel arrangement.

The salaries of many employees of the Department of Library, Archives and Public Records are not competitive with local employment markets. While a wide-ranging compensation study is beyond the scope of this evaluation, we have ample evidence that librarian positions at DLAPR are underpaid, perhaps by as much as \$4000 to \$5000 dollars per year. This

condition creates low staff morale and high staff turnover. Supervisors report difficulty in hiring qualified personnel and in keeping talented employees.

Other legislative agencies do not exhibit this compensation problem. We urge the legislature to study the issue of salaries at the department and to make appropriate adjustments to bring DLAPR pay scales into line with the local marketplace.

In addition to relatively low salaries, our examination of the department revealed a common need for additional staff resources. This need is not infrequent among government agencies, but it seems to be a particularly acute issue within some divisions of DLAPR. This issue should be addressed by the legislature, and additional resources should be directed to areas where new staff positions can best benefit the mission of the department.

Finally, while department performance is generally effective, we believe that there are opportunities for improvement. First, the divisions should spend more time reaching out to their clients to get feedback on division services and products. Second, the department should provide orientations for new legislators and legislative staff and consider establishing a "legislative liaison" position to provide ongoing service and consultation to legislative clients. Finally, the department should assess the advantages of adding additional "consultants" to its library extension division staff. Our evaluation indicates that the demand for services placed on the division by public libraries is not being met. More consultants are needed to assist this important client group. Also, such a change would do much to promote DLAPR's leadership role within the state's public library community.

**Security And Emergency Response Jurisdictions At  
Certain Legislative Buildings Are Unclear**  
(see pages 23 through 25)

The state capitol complex is protected by a variety of security services including the state capitol police, the Department of Public Safety, and security aides employed by the Department of Library, Archives and Public Records and the Legislative Council. Our conversations with personnel from these services indicate that communication and

understanding between the jurisdictions is poor. We believe that this condition has negative implications for all parties in their ability to respond to emergency situations.

We recommend, therefore, that the legislature study the security conditions that exist at the state capitol building to determine if adequate measures and personnel are in place to protect legislative employees, legislators, the public, and state property.

**Library Services For The State's Blind, Visually Impaired And Physically Handicapped Might Be Improved By Moving The Machine Lending Agency To The Library For The Blind**  
(see pages 27 and 28)

The library for the blind division of DLAPR provides braille and recorded copies of books, magazines and other items to the state's blind and visually impaired citizens. Recorded items, primarily on cassette tapes, are distributed throughout the state from the division's central depository. However, the special machines that users need to play these tapes are distributed by a division of the Department of Economic Security. Therefore, citizens who wish to use recorded books must work with two state agencies.

It seems likely that the combination of these separate functions within the library for the blind would benefit clients and save money for the state. We encourage the legislature to evaluate this matter and make an appropriate change.

**The Department's Administrative Rules Require Review And Update**  
(see page 29)

The department is authorized to promulgate rules and regulations that govern library use, records management, and other state library issues. According to the department director, current DLAPR rules have not been reviewed or updated since the 1970s. We believe that such a review is called for and should be undertaken immediately.

**The Department Is Not In Compliance With  
Certain Sections Of Its Enabling Statutes**  
(see pages 31 and 32)

The department is not currently implementing or enforcing the following sections of the law. We recommend that the Board of Library, Archives and Public Records work with the DLAPR director to address these issues.

A.R.S. Section 41-1345, Part 4. This section requires the department to identify "essential records" necessary to the operation of government and protection of individual rights in the event of a disaster. This identification process has not begun.

A.R.S. Section 41-1353. This section requires agencies to notify the department if the agency owns furniture and other equipment that is over 40 years old or that has historical value. This requirement is not currently being enforced.

A.R.S. Section 41-1337, Parts A.3 and A.4. These parts of the law require the research division's collection to include "an American history and biography unit" and "a mineralogy and geology unit." Currently, the division's collection does not include specific holdings grouped according to these topics.

## INTRODUCTION AND BACKGROUND

The National Conference of State Legislatures has conducted this performance audit of the Department of Library, Archives and Public Records as agreed through a contract with the Arizona State Legislature. The performance audit was conducted as part of the Sunset Review set forth in Arizona Revised Statutes (A.R.S.) Sections 41-2351 through 41-2379.

The Department of Library, Archives and Public Records (DLAPR) is established in A.R.S. Sections 41-1331 through 41-1354 as "the state library administrative agency." The department is an agency of the legislative branch. The activities of DLAPR are guided by a legislative board composed of "the president of the senate, speaker of the house of representatives and one member of the senate appointed by the president of the senate and one member of the house appointed by the speaker of the house."

The department has a variety of roles and responsibilities. Its director, who also is the "state librarian," oversees the operations of six divisions which have distinct, yet interrelated missions. The archives division collects and preserves documents and materials that have a permanent historic value to the state and its citizens. Records management stores and maintains inactive records of state agencies, microfilms selected records from state agencies, and consults with state and local government agencies on many aspects of records management including records retention, micrographics and imaging systems, and active records systems. The museum division operates the State Capitol Museum and the Arizona Hall of Fame Museum at the Carnegie Library, provides tours of the capitol complex, and operates a museum shop. The library for the blind serves the state's blind, visually impaired and physically handicapped by providing them with recorded books, periodicals and other items. The research division houses the more traditional library functions including a law library, federal documents collection and other specialized collections. The division provides

reference services to all branches of state government and to the public. Library extension provides outreach and consulting services to the state's county and municipal libraries. The division also awards state and federal grant funds to these libraries.

The department works with several statewide boards and commissions such as the Arizona Historical Records Advisory Board, the Arizona Historical Advisory Commission, the State Advisory Council on Libraries and the Library Board of Examiners. State law also requires the state librarian to meet annually with Arizona's county librarians to discuss county library development and related issues.

The department employs 113 state funded and 13 federally funded staff (currently only 11 of the federally funded positions are filled). With the exception of the director, deputy director and employees of the museum division, all department staff are state civil service employees. The administrative unit is located in the state capitol building as are the research division, archives and state capitol museum. Most library extension division staff are at the state capitol building, except for the audiovisual unit which is housed at the library for the blind at 1030 N. 32nd Street in Phoenix. Plans are underway to move the archives to a new facility within the capitol complex, and the law library will be relocated from the state capitol building to the new courts building. Also, the records management facility located at 1919 Jefferson will soon add a 21,000 square foot addition.

#### The Divisions

As indicated above, the department's divisions have wide-ranging roles and clientele. Brief descriptions of each division's operations follow.

Research. The research division provides research and referral services to all branches of state government. The research division acts as the legislative library, although the statutes are silent on this issue. The division operates a reference desk that fields inquiries from the legislature, other branches of government, law firms, public interest groups and members of the public.

The division's collections include: 1) a law library; 2) federal documents; 3) genealogy; 4) Arizona state government documents; 5) Arizona and the Southwest; 6) librarianship and related professional materials; 7) maps; and 8) legislative (general). The research division operates Serials On-Line in ARizona (SOLAR) which provides on-line access to a union list of Arizona serials. The department also recently has received approval from the Library of Congress to establish an Arizona Center for the Book that will be administered by the division.

As of June, 30, 1989, the division housed a total collection of 1,127,196 volumes.

Records Management. A.R.S. Section 41-1345.01 requires the records management division to "provide for an efficient and contemporary records management program using modern techniques to facilitate the economic creation, maintenance, control, retention and disposition of records. . . ." The division must operate a central facility to store inactive public records, establish standards for records management, operate a secure vault for selected essential records and operate a micrographics center. The division also provides consulting and training in all areas of records management to the agencies of state and local government. Consulting services often are provided in cooperation with the archives division.

A.R.S. Section 41-1347 makes all public records state property and prohibits their destruction without the permission of DLAPR. Agencies of Arizona state government must have a records management program and A.R.S. Section 41-1346 makes it a criminal offense to damage, alter or remove public records without permission from DLAPR. The head of a state or local agency must establish a "continuing program for the economical and efficient management of the public records of the agency" and comply with "the rules, regulations, standards and procedures issued by the director" of DLAPR. Violators are guilty of a class 2 misdemeanor.

The records management division is located adjacent to the capitol complex at 1919 West Jefferson. The staff of 16 occupy a relatively new building designed specifically as a records

management center. The building, with a records storage capacity of 82,000 cubic feet, was completed in 1981. The division estimates that storage space in the new building will be exhausted by January 1990. Construction will begin late this year on an addition to the building that will provide space for future expansion.

Museum. The museum division operates the State Capitol Museum and museum shop at the state capitol building and the Arizona Hall of Fame Museum in the Carnegie Library. The division also operates other exhibits through a "traveling exhibits program" that appear at various locations throughout the state.

The museum division conducts the official tours of the state capitol building and the chambers of the state legislature. It employs its own security staff who protect the collections and patrons at the two museum locations. The division's collection of historical objects numbers over 3200. In addition to conceptualizing and constructing exhibits, the museum staff are involved in conservation efforts that clean, repair and preserve important museum pieces.

The museum shop is a popular store run by the museum that offers educational items about Arizona and its history as well as a small selection of souvenirs. The museum shop is essentially self-supporting.

In addition to its 12 full-time and two half-time staff, the museum division is supported by a Volunteer Guild, the members of which participate in tour guide training and many other museum activities.

Library for the Blind and Physically Handicapped. The library for the blind is part of a national network directed by the Library of Congress that offers library services to persons who are blind, visually impaired or physically handicapped.

The division's staff of 17 manage an extensive collection of books and periodicals that are available in braille or on phonodisc or cassette tape. Staff "consultants" work with clients to

identify and respond to their reading interests. Materials are made available primarily through the mail. A computerized circulation control system maintains an up-to-date catalog of available titles and client requests. Division staff frequently participate as resource persons in public education programs.

The majority of the library for the blind's collection consists of cassette tapes produced and distributed by the National Library Service for the Blind and Physically Handicapped (NLS) of the Library of Congress. However, the division also records its own material, including items that are of special interest to the state and region. Cassette tapes and phonodiscs are playable only on special machines that are provided by NLS and distributed by a division of the Arizona Department of Economic Security.

The operations of the division are supported by a group of over 200 volunteers who, in 1988, contributed 16,455 hours of assistance to the library's activities.

Library Extension. The library extension division provides the department's primary connection to the state's library community. The division provides library materials and information, technical assistance, continuing education and other support services to county and municipal libraries. One of the division's most popular and successful efforts is its Summer Reading Program that helps children maintain an interest in reading during the summer vacation months.

Perhaps the most important responsibility of the division is the award and management of state and federal grant funds. In fiscal year 1987-88, Library Extension distributed more than \$2,200,000 in state and federal funds to the state's public libraries, including more than \$1,685,000 provided through the federal Library Services and Construction Act.

Four of the division's 15 total staff are "consultants" who work closely with county and municipal libraries. The consultants provide training, advice and information on a variety of library issues and topics including automation, library planning and library statistics. In

addition, the division houses an audiovisual services unit that circulates films to public libraries free of charge.

Archives. A.R.S. Sections 41-1338, 41-1339 and 41-1340 require the archives division to contain "all available works, books, newspaper files, pamphlets, papers, manuscripts, documents, magazines and newspaper articles, maps, pictures, items and materials pertaining to or bearing upon the history of Arizona." The archives division is the "central depository of all official books, records and documents not in current use of the various state officers and departments of the state, the counties and incorporated cities and towns. . . ."

Currently, the state's archival collection and staff occupy 4,853 square feet of the legislative services wing of the state capitol building. However, total space committed to archival-type materials managed by DLAPR's divisions is 14,889 square feet. The archive division's collection is stored on the fourth floor. Division staff operate a conservation laboratory and public research room on the same floor. The archives staff and collection will move to a new building at the capital complex in 1992.

The division provides a number of services beyond the collection and preservation of historical documents. Division staff support research inquiries from the public, provide consulting services, conduct workshops and speak to groups across the state on archival topics. They also work closely with staff of the museum, records management and research divisions to support the conservation and collection activities of those divisions.

Director's Office. The Director's Office houses the director and department staff who are involved in personnel management, automated services, communications and financial management. This group is located on the first and second floors of the legislative services wing of the state capitol building.

The director is responsible for the effective operation of all DLAPR divisions and has numerous responsibilities to the state's library community and for the management of public

records. The director serves as an ex-officio member of several advisory boards and commissions. As the "state librarian," the director certifies directors of county libraries and has final authority on the disbursement of federal funds to public libraries.

### The Long-Range Plan

As the descriptions above indicate, library services are only one aspect of the overall responsibilities and activities of DLAPR. However, the recent creation of a long-range plan for development of the state's library resources deserves special mention.

In 1987, the department, with cooperation and input from the state's library community, published the "Long-Range Plan for Arizona Libraries." The report represented the culmination of months of research and analysis of Arizona's library conditions and needs. Prior to these efforts, no consensus existed in the state about the direction of library development and the coordination of statewide resources.

The long-range plan creates a mission statement for Arizona libraries and establishes nine primary goals in support of that mission.

**Mission statement:** All Arizona residents are entitled to secure information and materials in a form that can be used and understood. Arizona libraries fulfill their purpose to the extent that they meet the informational, educational, and recreational needs of their clientele.

**Goal 1:** A statewide network of public, school, academic and special libraries will support the needs of Arizona residents for quality library service, information, and materials.

**Goal 2:** Libraries will receive assistance in improving services to their clientele.

**Goal 3:** Public libraries will operate under appropriate legislation and be supported adequately.

**Goal 4:** Libraries will have or be able to obtain reference and circulating materials to meet the needs of their clientele.

**Goal 5:** Residents of Arizona will be served by professionally trained, knowledgeable, and competitively paid staff.

**Goal 6:** Arizona public libraries will have knowledgeable and concerned trustees and friends groups.

Goal 7: Public library service will be provided to all residents of Arizona regardless of geographic location or economic conditions.

Goal 8: Arizona public libraries will provide service to meet the needs of special populations.

Goal 9: Long-range plans for public libraries and the Department of Library, Archives, and Public Records will be developed, used as a basis for ongoing decisionmaking, and evaluated on an annual basis.

Objectives and action plans have been developed for each of these goals along with target dates for their completion. A steering committee is directing the activities of several task forces that are currently working on the plan's immediate objectives. For example, one task force has developed a request for proposals and issued a subsequent contract for a consultant to study the state's library networking needs.

The long-range plan is important because it brings together, for the first time, the entire community of library service providers to work toward common, jointly held planning and development objectives. It also highlights the role of DLAPR as the leader of this effort. As the 1987 report states, "Many of the librarians participating in this long-range planning project look to the state library for leadership and overall coordination of the implementation of the long-range plan. The DLAPR is in a unique position to move the state forward."

#### General Observations

We believe that the Department of Library, Archives and Public Records is an efficient and effective agency that has made tremendous improvements over the past five years. Several of its divisions offer exemplary service and certain members of the department's staff have national reputations for their knowledge and expertise. One example that stands out is the genealogy unit within the research division. These accomplishments have been achieved despite an environment that is characterized, in many cases, by low salaries, understaffing, substandard facilities and diverse clientele.

As part of our assessment of DLAPR performance, we interviewed nearly half of the department's employees, all four legislators serving on the Board of Library, Archives and

Public Records, and state agency personnel, and we sent questionnaires to all state legislators, selected legislative staff, and 115 county and municipal libraries in Arizona. We also spoke with librarians around Arizona and with state librarians in other states.

As we have stated earlier, DLAPR is a diverse organization serving a diverse clientele. Most people are exposed to the department through its library functions and its museum activities. Records management, archives and the library for the blind, which serves a special population, are less known in the community of people that we contacted. However, it is in these areas that the department offers its most outstanding performance.

Library for the Blind and Physically Handicapped. We are highlighting this division because it offers an example of excellence that pervades all aspects of its operations. Rarely in our work have we encountered an agency or division that puts so many positive management concepts into action.

In our conversations with people in Arizona, and from our survey work, it is clear that the library for the blind enjoys a statewide and national reputation for effective service and responsiveness. One survey respondent summarized the opinion of many by commenting, "The Library for the Blind has been and continues to be excellence personified when it comes to responsiveness, anticipation of needs, public service attitude, etc." A representative of the state's chapter of the National Federation of the Blind told us, "We find them forthcoming and honest about the work they do . . . they work with us, are responsive to us . . . we trust them." And a spokesperson for the National Library Service for the Blind and Physically Handicapped, the federal agency that oversees and evaluates the division's activities, said, "they have a strong service attitude. . . . They are one of [the] best libraries [in the nation]."

The division has a distinct advantage in that its client group is specific and its mission is clear. These advantages, however, are not enough to ensure success. The division exhibits the following characteristics that contribute to its performance.

- The director uses a "management-by-walking-around" style described by Tom Peters in his popular book, In Search of Excellence. The director knows all aspects of the division's operations and the roles and responsibilities of each staff person. He works with his staff, engendering a sense of teamwork, and conveying his commitment to the goals of the division.
- Division staff are involved in decisions that affect their workplace. Employees are treated like professionals. They are allowed to pursue their individual responsibilities without constant oversight or direction. Information about division activities, issues, problems and planning is available to everyone. A strong message about teamwork is conveyed through these practices.
- Excellence is recognized and rewarded. The division, in simple but effective ways, pats itself on the back when goals are met or exceeded. The director provides immediate congratulations to staff after periods of high volume. Volunteers, on whom the division relies for critical support, are recognized for their service. Volunteers who accumulate over 1000 hours of service have their name placed on a plaque in the entryway of the division's building.
- Effective service is paramount. All of the division's decisions and activities are directed at this goal. Their service attitude is not reactive, but proactive. Division staff routinely contact clients to determine their needs and their satisfaction with current services. Efforts are made to reach out to portions of the eligible population not currently being served. Innovation, in the name of improved service, is encouraged at all levels. For example, the division operates a computer controlled circulation system that is a national model. The division also produces many recorded materials that are unique to the state and region. Their efforts recently resulted in the first state-produced recording ever accepted for inclusion in NLS's nationally distributed collection.

We commend the division and DLAPR for the continuing success of the library for the blind, and we urge the state legislature to recognize and reward the division's performance. The library for the blind is a legislative agency. The Arizona State Legislature should be proud of its accomplishments.

The library for the blind is not the only success story within the DLAPR. Certain aspects of each division deserve recognition for their efforts, expertise and service to the state. The department recently has initiated an "employee recognition" program that rewards employee tenure. We hope that this program will be expanded to identify DLAPR staff who exceed performance expectations by making special contributions to the effectiveness and reputation of the department.

## SUNSET FACTORS

In accordance with A.R.S. Section 41-2354, the legislature should consider the following 12 factors in determining whether the Department of Library, Archives and Public Records should be continued or terminated.

1. Objective and purpose in establishing the agency

The powers and duties of the Department of the Library, Archives and Public Records are established in A.R.S. Sections 41-1331 through 41-1354. State law designates the department as "the state library administrative agency." In that role, the department is responsible for planning, supporting and coordinating statewide public library services.

The department also directs the state's programs to identify, collect, store and preserve government and historical documents, and it operates museums for the education of the state's citizens. In addition, DLAPR is required to "develop library service for the blind and physically handicapped" and establish a "library division" for providing research and reference services to state government and the public.

2. The effectiveness with which the agency has met its objective and purpose and the efficiency with which it has operated

As indicated above, the department is composed of a complex mix of library, educational and information services. In general, the department has been effective and efficient in the pursuit of its varied goals. Many of its operations display outstanding performance, even though they might be understaffed and underfunded. Our survey and interview results indicate that most observers agree that the department has made steady progress over the past five years addressing problems that have hampered performance in the past.

Some areas for improvement do exist. These issues are discussed in Finding I.

3. The extent to which the agency has operated within the public interest

The public interest is served when libraries effectively respond to public and institutional needs, when the state's legal and historical documents are protected and made accessible, and when special populations receive library services that might not otherwise be available. The DLAPR operates within the public interest by being the state's central resource in support of these services and goals.

The department is responsible for security at its museums. However, unclear security responsibilities and poor communication between multiple security jurisdictions at the state capitol complex could undermine public safety in emergency situations. This issue is discussed in FINDING II.

4. The extent to which regulations promulgated by the agency are consistent with the legislative mandate

The department is authorized to establish rules governing the use of its collection and to direct the activities of governmental units in the areas of records management.

Rules regarding the department's library and archives collections have not been updated in many years. This issue is addressed in Finding IV.

Records management rules do not exist in official form. However, the records management division has developed a series of "Records Management Manuals" that contain records management rules and regulations for state, county and local governments, including school districts. These rules are consistent with the legislative mandate.

5. The extent to which the agency has encouraged input from the public before promulgating its rules and regulations and the extent to which it has informed the public as to its actions and their expected impact on the public

This factor does not apply because the department has not promulgated rules or regulations since the 1970s.

6. The extent to which the agency has been able to investigate and resolve complaints that are within its jurisdiction

Most complaints to the department regard service problems at the division level. Division personnel resolve these complaints in the normal conduct of their duties. Complaints that are more far reaching in their implications are referred to the director's office. Complaints at this level generally have been resolved or successfully managed. The department employs a communications specialist who assists the director on especially sensitive matters.

7. The extent to which the Attorney General or any other applicable agency of state government has the authority to prosecute actions under enabling legislation

The enabling legislation makes it a class 2 misdemeanor when the head of a state or local agency does not establish a "continuing program for the economical and efficient management of the public records of the agency" and cooperate with DLAPR on various records retention matters. Also, these agencies must receive approval from DLAPR before they institute any program to reproduce and catalog records in its custody. To our knowledge, these provisions have never been tested.

Public libraries supported by public monies may not disclose information "which identifies a user of library services as requesting or obtaining specific materials or services or as otherwise using the library." Violators are guilty of a class 3 misdemeanor.

Should they occur, the Attorney General has authority to prosecute these violations.

8. The extent to which the agency has addressed deficiencies in its enabling statutes which prevent it from fulfilling its statutory mandate

Current statutes do not inhibit the department from fulfilling its statutory mandate. However, a task force has been established as part of the implementation of the long-range plan that will study the statutes and recommend changes that will promote more effective library services in the state.

9. The extent to which changes are necessary in the laws of the agency to adequately comply with factors listed in the Sunset Law

The laws establishing the department are not in need of change. However, certain sections are not currently being implemented and are in need of review. This issue is addressed in Finding V.

10. The extent to which the termination of the agency would significantly harm the public health, safety, or welfare

The department provides and supports services essential to the education of Arizona's citizens and to the retention of critical government documents. Termination of the department would undermine the goal of maintaining an informed citizenry and would paralyze the state's efforts to develop an effective records retention system.

11. The extent to which the level of regulation exercised by the agency is appropriate and whether less or more stringent levels of regulation would be appropriate

The level of regulation exercised by the department is appropriate.

12. The extent to which the agency has used private contractors in the performance of its duties and how effective use of private contractors could be accomplished

Private consultants have been used by the department in several phases of planning including architectural work and the development of the state's long-range plan. The museum uses private contractors for the construction of some exhibits.



## FINDING I

### THE EFFECTIVENESS OF THE DEPARTMENT IS HAMPERED BY SEVERAL PERSONNEL AND MANAGEMENT ISSUES THAT REQUIRE THE ATTENTION OF THE DEPARTMENT AND THE LEGISLATURE

The Department of Library, Archives and Public Records is an effective agency that carries out a number of complex roles and responsibilities. However, certain aspects of its operations could be improved to further enhance the department's performance.

#### "Uncovered" Status for Department Personnel

Most of the department's employees are covered by the state's civil service system. Exceptions are made for the director, the deputy director, and the entire staff of the museum division. This situation has created problems on two levels for the department.

First, the mix of covered and uncovered personnel creates an administrative headache for division managers. Museum staff are generally treated in the same manner as covered personnel, but they technically are outside the state personnel system and must be treated differently under certain circumstances. For example, when job openings occur within other divisions, museum staff must wait for the positions to be officially posted by state personnel, and must formally apply for those spots. They cannot be promoted internally to those jobs.

Second, and more significant, is the matter of the state personnel system itself. The system is administered by the Department of Administration (DOA). It establishes the rules, job classifications and qualifications, and other requirements that pertain to covered employees. For example, DOA requires that civil service workers participate in an employee performance evaluation system designed (and frequently redesigned) by DOA.

Our interviews revealed widespread concern about the performance evaluation system imposed by DOA and about DOA job titles and requirements that do not match up well to

the positions and requirements of many DLAPR staff roles. In addition, in response to federal rules, DOA requires that employees not work in excess of the standard eighty-hour pay period. Apparently, a past state employee accumulated bits and pieces of overtime during an extended period and then successfully charged the state for past wages due. The effect on DLAPR staff has been stifling. Division directors have had to issue memos to their staff instructing them that if they arrive early at their desks, they may not work until the official beginning of the workday. We do not believe that professional employees should be restricted in this way.

The performance evaluation system required by DOA is inadequate and overly cumbersome for DLAPR staff. We also believe that the department needs more flexibility in designing its job positions and descriptions and in hiring candidates who are qualified for those jobs.

The Department of Library, Archives and Public Records is a legislative agency, and like all other legislative agencies in Arizona, all of its employees should be exempt from the state personnel system. The change to exempt status is the single most effective move that the state could make to enhance the performance of the department. As an exempt agency, the department could (and should) design its own employee performance evaluation system, establish a job classification and pay plan that is based on the unique needs and roles of the divisions, and loosen the bureaucratic red tape that is currently imposed on the department by DOA.

This change would not come without a price tag. The department would need to beef up its personnel administration staff and the transition would require the assistance of consultants in job analysis and related personnel issues.

Some staff have indicated that a change to exempt status would make them vulnerable to the whims of the legislature and poor managers. They prefer the "protection" of the state personnel system. We do not believe that this fear is supported by the facts.

NCSL, in conjunction with this study, has conducted similar performance audits at the other agencies of the Arizona Legislature. In no case have we encountered instances where employees were released without due cause. There is no evidence in these agencies that employees fear losing their jobs. Indeed, these agencies exhibit excellent personnel management practices, highly professional and motivated staff, and very satisfied clients. We have no reason to believe that DLAPR would not experience similar results under exempt status.

#### Staff Salaries

Perhaps the most consistent theme that came from our interview with department supervisors and staff is the issue of low salaries. Almost all interviewees complained that they were severely underpaid, or that the low salary conditions caused excessive turnover among staff. The issue of low salaries seems especially pronounced in the divisions that employ librarians.

A full-scale survey of comparative salaries is beyond the scope of this study. However, a comparative look at the entry-level salaries for librarians in the Phoenix market suggests that the complaints of department staff are well founded.

We collected the entry-level pay ranges for a "librarian I" at several public libraries in the Phoenix area. For each range, we calculated a midpoint--the statistic commonly used to compare compensation plans. As the listing below indicates, entry-level librarians at DLAPR are paid approximately \$5000 less per year than their colleagues at nearby public libraries. In two cases, the difference between the DLAPR midpoint and other libraries is over \$6000.

The department clearly is not in a competitive position for hiring new staff. It is likely that this disparity in wages is consistent throughout the other librarian positions. For example, the current average salary paid at DLAPR for a "librarian IV" is \$29,646, which is lower than the average entry level midpoint for a librarian I at the area's public libraries. This condition has particular impact on the research division, library extension, and the library for the blind, which all employ staff librarians.

<u>library</u>	<u>entry-level salary range</u>	<u>salary range midpoint</u>
<i>Chandler Public</i>	\$24,660 -- 35,904	\$30,292
<i>Glendale Public</i>	26,358 -- 35,583	30,970
<i>Maricopa County</i>	24,540 -- 33,216	28,878
<i>Mesa Public</i>	26,448 -- 35,724	31,086
<i>Tucson Public</i>	24,408 -- 32,724	28,566
<i>Phoenix Public</i>	25,164 -- 35,676	30,420
<i>DLAPR</i>	19,044 -- 28,812	23,928

Supervisors reported to us that some position openings have sat vacant for months due to lack of qualified applicants. We must conclude that low compensation is a key deterrent to attracting outstanding job candidates.

NCSL's work at the other agencies of the state legislature revealed no similar concern about compensation. Indeed, it appears that professionals at these other departments receive competitive salaries. We believe that the legislature should study the issue of salaries at the DLAPR and where appropriate, make adjustments to bring the department's salary scale into line with the local marketplace. The move to exempt status, as recommended above, is a key ingredient in making this change.

Again, the salary issue has potentially significant fiscal implications. However, for reasons of equity and agency performance, we encourage the legislature to follow through on this matter.

### Understaffing

In addition to low salaries--a condition that is somewhat easy to confirm--there appear to be many instances where divisions are understaffed. The result, invariably, is a decrease in responsiveness and an inability to meet all the statutory requirements of the department.

Unfortunately, understaffing is a condition that all government agencies seem doomed to live with.

We have no specific recommendation about staff levels at DLAPR. Each division could make a splendid case for additional staff resources. We believe that the legislature should be aware that DLAPR is in need of more people in order for them to accomplish all their goals in a timely manner. We are especially concerned that new responsibilities and the move to new facilities might not include a corresponding addition of personnel. The legislature should study this issue and, if shortcomings are evident, express its support for the department's goals by providing additional funding for staff.

#### Communication and Mixed Missions

After many interviews and after reviewing reams of DLAPR documents, it has become clear that the department represents many things to many people. To most observers, it is the library functions that define the department. Certainly this is true of the state legislators and legislative staff that we surveyed. In fact, the reputation of the department rests almost entirely on its performance in the areas of information services to government and legal clients and its assistance to public libraries.

DLAPR is three things. First, it is the legislative library and the library of state government. Second, it is the administrator of the state's efforts to retain and preserve important government documents. Third, the department is the leader of the state's library community. All of these roles interrelate. But they also are separate, and the perception of various client groups about DLAPR performance occasionally is shaded by an incomplete knowledge of all that the department does.

We believe that the department's performance has done much over the past several years to improve its stature and reputation in the state. However, there may be additional opportunities to improve service and reach out to key clients. Some of these ideas require additional staff, some can be accomplished with existing resources. The goal of these efforts

would be to provide more effective and frequent communication between DLAPR staff and those who rely on their services.

Here are some suggestions:

- o The divisions should routinely survey past clients to learn if their experience with the division was useful and effective. Users of division services can identify service problems and indicate the relative value of various division products. For example, as part of this study, we conducted a telephone survey of persons who brought groups to the museum for a tour. We found a high level of satisfaction with the service and tour guides. We also learned that many tour clients would like to receive more complete briefing materials to distribute to their groups in advance of the actual tour. This survey was simple and fast and revealed some areas for improvement. It also provided a way for staff to demonstrate their commitment to service.
- o The research division has a unique relationship with the state legislature. Our survey of legislators and staff indicates that they are very satisfied with division services and responsiveness. A summary of survey responses is presented in Appendix B. However, our interviews and the survey show that legislative knowledge about DLAPR and its various services is incomplete. For example, over 70 percent of the respondents replied that they were unfamiliar with the library for the blind and the library extension division. We believe that DLAPR should work to improve the legislature's understanding of department activities. One technique would be to become more involved in new member orientation programs aimed at freshman legislators and staff. Also, the department might consider establishing a "legislative liaison" position in the research division who would be the primary contact for legislative information requests and who would go to the legislature on a regular basis to learn about legislative information resource needs.
- o The library extension division provides the division's key outreach services to the state's public libraries. Our survey work and interviews indicate that this division has made enormous progress in recent years in addressing the needs of its clients. However, we also are convinced that the division must do more to get its consultants out into the field. Some of the public library personnel we heard from complain that division staff have never been to their facility. Under current staffing levels, we doubt if the extension division's consultants can meet the demand for on-site services. We therefore encourage DLAPR and the legislature to invest additional resources in this division to improve its ability to perform critical technical assistance services.

## RECOMMENDATIONS

1. The staff of the Department of Library, Archives and Public Records should be made exempt from the state personnel system.

2. The Board of Library, Archives and Public Records should commission a salary study of the Department of Library, Archives and Public Records and, to the degree possible, develop and fund a competitive pay and classification plan.
3. The Board of Library, Archives and Public Records, with the assistance of department personnel, should study the staffing levels of the DLAPR to determine where key responsibilities are not being addressed due to understaffing. The Board should make appropriate recommendations to the legislature regarding additional staff needs.
4. The Department of Library, Archives and Public Records should undertake an assessment of techniques and staff roles that might be employed to improve communication with key clients and for the collection of feedback about department services.



## FINDING II

### SECURITY AND EMERGENCY RESPONSE JURISDICTIONS AT CERTAIN LEGISLATIVE BUILDINGS ARE UNCLEAR

The Arizona capitol complex is protected by a hodgepodge of security services. The Department of Public Safety supervises security at the House and Senate wings of the capitol complex and on the ninth floor of the west wing of the state capitol executive tower. The state capitol police from the Department of Administration are responsible for security on the remaining floors of the executive tower and all other buildings owned or leased by the state and located near the state capitol building, except for buildings maintained by 1) the department of transportation, 2) the Arizona power authority, 3) the state compensation fund, 4) the state capitol museum, 5) the legislative services wing, 6) the House and Senate wings, and 7) the public records retention center.

Section 41-1335 of the Arizona Revised Statutes authorizes the department to "employ security personnel for the state capitol museum or any other museum operated by the department." The museum division employs a "chief of security" and two security aides who focus their efforts at the Arizona Hall of Fame Museum and at the State Capitol Museum. The chief of security consults with several department divisions on security matters.

In addition to all of these groups, the Legislative Council employs a security aide who monitors the legislative services wing of the state capitol building. This employee is responsible for the daily opening of the portion of the state capitol building that houses the state capitol museum.

From our interviews with security staff and officers of the state capitol police, it appears that responsibilities for enforcement and emergency response are unclear among these layered jurisdictions. Security staff employed by the council and the state capitol museum are not

commissioned police officers, and therefore cannot take violators into custody. In situations requiring such action, they must call for the state capitol police. The state capitol police do, in fact, fulfill this role. A.R.S. Section 41-795 says that the state capitol police "shall have the power of peace officers for the protection of the state capitol building and grounds. . . ."

However, the state capitol police, having been released by law from security responsibilities at the legislative services wing and state capitol museum, are not inclined to participate with tremendous enthusiasm at those sites. In a way, such a disposition might be understandable. The council and museum provide only minimal security staff. At night and on weekends, the state capitol police are expected to monitor state capitol building locations that officially are outside their jurisdiction. And during weekdays, they are called in to assist in situations that "security aides" are unable or unauthorized to handle.

On the other hand, it appears that the state capitol police have been less than receptive to initiatives of legislative security staff to coordinate emergency response plans. Communication between jurisdictions is poor.

At the state capitol complex, each security jurisdiction has its own standards for communication, training, and emergency response. If a serious emergency or catastrophic event were to occur at certain sites within the state capitol building or at the hall of fame museum, it is not clear that an effective response would be forthcoming. Said one security person, "It works well until the magnitude of the event causes us to question [our security] authority. . . . We're just waiting for the big incident."

The Board and the Legislative Council should study this security situation and look for ways, at a minimum, that communication and coordination can be improved between council security, museum security, and the state capitol police. Statutes regarding responsibilities and powers of the state capitol police should be studied to identify possible loopholes. For example, the state capitol police respond to requests for assistance at the Arizona Hall of

Fame Museum (at the Carnegie Library). The law is vague about whether their full authority extends to this site.

#### RECOMMENDATION

1. The Legislative Council and the Board of Library, Archives and Public Records should study the security conditions that exist at the state capitol building to determine if adequate measures and personnel are in place to protect legislative employees, legislators, the public, and state property.



### FINDING III

**LIBRARY SERVICES FOR THE STATE'S BLIND, VISUALLY  
IMPAIRED AND PHYSICALLY HANDICAPPED MIGHT BE  
IMPROVED BY MOVING THE MACHINE LENDING AGENCY  
TO THE LIBRARY FOR THE BLIND**

The library for the blind division provides braille and recorded copies of books, magazines and other items to the state's blind and visually impaired citizens. Recorded items, primarily on cassette tapes, are distributed throughout the state from the division's central depository.

Special machines are needed to play the tapes, which are recorded at slow speeds to allow the tape to hold more material. Before the existence of the library for the blind, the Library of Congress designated the Department of Economic Security (DES) as the state's "machine lending agency." Machines are provided by the National Library Service for the Blind and Physically Handicapped and are distributed and maintained by DES. Citizens who want to use the materials provided by the library for the blind, therefore, must also contact DES to get a playback machine.

This split in services has occurred in other states. However, today only Indiana and Arizona continue to operate separate machine lending and program lending agencies. NLS recommends the combination of these functions, and a recent performance audit of the Indiana State Library has recommended the same.

We have not had the opportunity to adequately assess the impact on DES of moving the machine lending function to the library for the blind and we therefore cannot specifically recommend this action. However, it seems likely that the clients of these services would be well served by such a move and that state services could be provided in a more efficient manner. We believe that the legislature should evaluate this matter and make an appropriate change.

## RECOMMENDATION

1. The Board of Library, Archives and Public Records should study the feasibility of moving the machine lending function from the Department of Economic Security to the Department of Library, Archives and Public Records.

## FINDING IV

### THE DEPARTMENT'S ADMINISTRATIVE RULES REQUIRE REVIEW AND UPDATE

The department is authorized to promulgate rules and regulations that govern library use, records management and other state library issues. According to the department director, current DLAPR rules have not been reviewed or updated since the 1970s. We believe that such a review is called for and should be undertaken immediately.

### RECOMMENDATION

1. The Department of Library, Archives and Public Records should immediately begin a process for the review and revision of its administrative rules and regulations. This effort should include an assessment of instances in which additional regulations would clarify and reinforce the goals and responsibilities of the department. Careful consideration also should be given to the elimination of unnecessary rules and regulations.



## FINDING V

### THE DEPARTMENT IS NOT IN COMPLIANCE WITH CERTAIN SECTIONS OF ITS ENABLING STATUTES

Sections 41-1331 through 41-1354 establish the powers and responsibilities of the Department of Library, Archives and Public Records. The department is not currently implementing or enforcing the following sections of the law.

#### A.R.S. Section 41-1345, Part 4

This section of the law requires the department to "Establish criteria for designation of essential records . . . [that contain] information necessary to the operations of government in an emergency created by a disaster [or] information necessary to protect the rights and interests of persons or to establish and affirm the powers of governments in the resumption of operations after a disaster."

These statutory requirements have not been addressed by the department or its records management division. According to department staff, the identification of essential records is a time-consuming task that is beyond the current resources of DLAPR.

The retention of essential records is an important state responsibility. The Board of Library, Archives and Public Records should assess the department's resources to determine if additional support is available to address these requirements. If not, the Board should assist the department in prioritizing its statutory mandates.

#### A.R.S. Section 41-1353

This section requires state agencies to notify the department "on forms prescribed by the board if the agency has or acquires furniture, equipment or other personal property which is forty or more years of age or of known historical interest." It gives the Board power to

request transfer of such items to the DLAPR and provides an appeal process for affected state agencies.

According to department staff, this provision of the law is not currently being enforced. The requirements apparently were directed to specific acquisition goals in the early 1980s. The Board should determine if these requirements remain necessary. If so, the department should be encouraged to enforce this section of the law. If not, it should be deleted from the statutes.

A.R.S. Section 41-1337, Parts A.3 and A.4

This portion of the law requires the research division to include "an American history and biography unit" and "a mineralogy and geology unit." Currently, the division's collection does not include specific holdings grouped according to these topics.

The Board should determine if there is a need to comply with these requirements. If so, the legislature should provide the resources necessary to accomplish this goal. If not, the provisions should be deleted from the law.

RECOMMENDATION

1. The Board of Library, Archives and Public Records should review the sections of the Arizona Revised Statutes listed above and, in consultation with department staff, make recommendations about statutory compliance or revision.

## OTHER ISSUES

During the conduct of this study, we encountered several issues that should be addressed but that fall outside the purposes of the "Findings" section of our report. These issues are briefly discussed below.

### Internal Division Communication

Our interviews and other observations of the research and museum divisions revealed some conditions that work against staff motivation and effective performance. It should be understood that we are not commenting here on the performance of these divisions, which generally is very good. However, we believe that the directors of these divisions should address the following concerns:

Research Division. We were struck by a widely held opinion within this division that information about some "sensitive" division issues and plans is routinely withheld from most division staff. An attitude exists that only certain employees have access to planning discussions. Many division staffers complained that decisions affecting their workplace and responsibilities were regularly made without their input and that changes have been instituted without notice. Several staff felt as though their efforts on behalf of the division and department had gone unrecognized and unsupported. Research division staff do not feel as though they are united in a team effort. They are unclear about the division's mission, goals and objectives.

The research division is one of the more complex units within DLAPR. It has a variety of responsibilities and client types, and receives enormous demand for reference services. Facilities are crowded and overtaxed, and staff are underpaid. However, staff exhibit tremendous dedication to their work and a willingness to go the extra mile to provide service

and achieve the division's goals. We believe that these dedicated people need to be invited into the process at the research division through new avenues of communication.

We commend the division for instituting a new internal newsletter. That tool will help address the need for the routine exchange of information about personnel issues and upcoming events. The director should build on this effort with the goal of developing an esprit de corps among division staff.

The mission of the division has been expressed as follows: "to provide quality reference service to the legislative, executive and judicial branches of Arizona government; to the Arizona legal community; and to Arizona residents." Many division staff seem unclear about this mission and express concern that division priorities are constantly shifting.

We encourage the division director to establish a regular schedule of quarterly or semiannual meetings that include all division staff. These meetings should go beyond the routine reporting of events and statistics to include discussions about long-range plans, division goals, problems and rumors and individual accomplishments. Although it would be difficult to schedule, the division should investigate the possibility of holding an annual one-day division retreat where all staff could be involved in an assessment of the past year's successes and problems and in discussions about opportunities for improving services and performance. These discussions might include the department director, legislators, legislative staff, and other representatives of key client groups.

We believe that the division provides effective service. We are impressed with the quality and dedication of its staff, and we are confident that, together, they can move toward an even more successful expression of the division's mission.

Museum Division. The museum division is the most "public" of all the functions of DLAPR. Its staff, in many ways, represent the entire department to the public and especially to the legislature. Our survey of state legislators and staff (see Appendix B) shows that legislators

are more familiar with the state capitol museum than with any other division in DLAPR. This fact puts a special burden on the museum staff and also offers them special opportunities.

Even though the museum staff is relatively small, we are concerned about an attitude that has developed among them that inhibits open communication and discussion. The director meets weekly with key staff. This meeting is open to everyone, but the agendas lack any discussion of real division issues. There appears to be an unwritten rule that division problems and controversies should be handled behind closed doors.

Certainly, some matters do require careful and discreet management. We believe, however, that division staff must be encouraged, rather than discouraged, to discuss in an open forum those sensitive or controversial issues that have an impact on their workplace. The environment at the museum needs to be relaxed and opened up. We do not believe that this course of action involves any risk. Indeed, we believe that it will work to further improve the image of the museum.

The museum operations are an extremely successful and important component of DLAPR. We believe that its performance, to a large degree, accounts for the positive ratings given to the department by state legislators and staff. The staff of the division should be commended for their creativity and dedicated work. This division is clearly one in which additional resources are needed, but its staff nonetheless have met the challenge by producing a quality educational experience.

#### Saturday Museum Hours

Several interviewees and survey respondents commented that the state capitol museum should be open on Saturdays. They argue that tourists and Arizona citizens would find the Saturday hours convenient, and that there is an obligation for the state to make the facility more accessible.

We agree that Saturday hours would help the museum to serve a larger number and broader range of visitors. Unfortunately, this change would require the division to employ additional museum and security staff. While Saturday hours are a worthy goal, we think that additional resources would be more effectively directed at the existing operations of the museum.

If the legislature determines that it is in the public interest to open the state capitol museum on Saturdays, it must be willing to provide the additional funds necessary to implement this change. The museum staff already are stretching every penny that they have.

#### Automation

Many respondents to our survey of public libraries indicated a need for assistance in the area of library automation. This need apparently is felt on two levels. First, public libraries want assistance in developing their own internal automated systems. Second, they are looking for leadership in the development of a statewide computerized network that will enhance information sharing among the state's library community.

The latter issue currently is being addressed by one of the task forces involved in the implementation of the long-range plan. From our discussions with task force members, we are encouraged to learn that the issue of statewide computer networking will be a high priority of their efforts. We urge the department to closely follow their work in this area.

The matter of assistance with internal automation systems is a concern of the library extension division of the department. Our survey asked libraries about their satisfaction level with various division programs and services. About one-fifth of the respondents indicated that help with automation was a service that they needed but had not received. Twenty-four percent rated division service in this area as fair or poor. Only ten percent rated it good or excellent. A large percentage of "no response" answers to this topic indicates that respondents are unclear about these services.

We have stated earlier that the division and the library community would benefit by funding additional consultant positions at the extension division. We also recommend that the division further investigate the needs of its clients in the areas of automation, and to the degree feasible, direct additional services toward this matter.





State of Arizona  
**DEPARTMENT OF LIBRARY, ARCHIVES AND PUBLIC RECORDS**  
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SHARON G. WOMACK  
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ARLENE BANSAL  
Deputy Director

September 26, 1989

Richard Jones, Director  
Legislative Management Program  
National Conference of  
State Legislatures  
1050 17th Avenue, #2100  
Denver, Colorado

Dear Mr. Jones:

The Department of Library, Archives and Public Records has completed its review of the draft report of the performance audit which the National Conference of State Legislatures has completed as part of the Sunset Review required by Arizona statute. This letter constitutes the Department's comments to the report.

This performance audit has addressed several significant issues relating to the Department. On the whole, we concur with the findings and recommendations that have been reached.

We certainly agree that we have an excellent staff, the best staff we have ever had; however, they are sorely underpaid and too few in number. Of course, we also believe that with adequate compensation and an adequate number of staff, the level of service the agency provides could be improved.

The following is our response to selected recommendations from the five findings:

**Finding I—Personnel and Management Issues**

Recommendation 4. Communication with clients and collection of feedback about services is currently collected in the divisions at varying levels. For example, the Museum Division sends a questionnaire to every teacher who brings a tour group to either of the museums and has implemented the changes recommended by those teachers to add material which would help the teachers prepare students to visit the museums. The Museum Division Director and the Department Director also participated in orientation of new legislators. We will put more emphasis on program evaluation in all of our divisions.

**Finding II—Security and Emergency Response Jurisdictions**

Although there is a need to clarify security responsibilities at the State Capitol Building, there is a history of prompt response from Capitol Police and Department of Public Safety officers to emergency calls from Department staff.

Richard Jones  
September 26, 1989  
Page 2

**Finding III—Machine Lending Agency Move to the Library for the Blind**

The Department of Economic Security has included in its 1989/90 legislative package, recently delivered to the Governor, the transfer of the machine lending function to this agency. We have included funding for this program in our 1989/90 budget request.

**Finding IV—Administrative Rules Review and Update**

A staff member has been assigned to this task and rules will be updated.

**Finding V—Enabling Statutes Compliance**

**A.R.S. §41-1345, Part 4. Essential records program**

We recognize our responsibility for this program. Some years ago when the Titan missile silos were scheduled to be abandoned, contact was made with the Department of Defense and Senator Goldwater. However, we were not able to acquire the site for an essential records program center. We will be pursuing this matter and seeking the additional staff needed to put such a program into operation. In the future as retention schedules are developed, essential records will be identified.

**A.R.S. §41-1353. Transfer of Historic Property.**

This legislation is valuable because it provides an opportunity for the Museum to acquire property, such as furniture, that meets our collection criteria. It also helps agencies transfer important property to us and to justify the replacement expense. A survey of state agencies was completed in 1981, and staff will pursue a regular reporting program.

**A.R.S. §41-1337, Parts A.3 and A.4**

We will closely evaluate statewide library collections in the areas of American history, biography, mineralogy, and geology to determine if there is a need for the Department to maintain such collections. A request will be made to repeal these parts of A.R.S. §41-1337 if such collections are found to be unnecessary.

In conclusion, the Department of Library, Archives and Public Records would like to acknowledge the professional and courteous manner in which Brian Weberg and Mary Fairchild conducted the performance audit of this Department. We appreciate the objectivity they exhibited in evaluating the Department's programs.

Sincerely yours,



Sharon G. Womack  
Director

**APPENDICES**

## APPENDIX A

### SURVEY OF ARIZONA PUBLIC LIBRARIES

A questionnaire containing the following questions was mailed to 115 county and municipal libraries in Arizona. Fifty responses were received for a response rate of 43 percent.

1. How often do you work with the following divisions? (Figures presented indicate percentage of total respondents who checked that category.)

<u>Division</u>	<u>Annually</u>	<u>Monthly</u>	<u>Weekly</u>	<u>Daily</u>	<u>Never</u>	<u>No Response</u>
<i>Research</i>	30%	20	18	4	18	1
<i>Extension</i>	14	40	26	0	10	10
<i>Administration</i>	32	26	6	0	26	10
<i>Library for the Blind</i>	24	20	10	2	30	14

2. Please indicate your assessment of the quality of work conducted by the Department of Library, Archives and Public Records by responding to the following statements. (1=strongly agree, 5=strongly disagree)

<u>Statement</u>	<u>Average Rating</u>
<i>A. Department staff are helpful and courteous.</i>	2.1
<i>B. Department staff respond promptly to requests for assistance.</i>	2.1
<i>C. Communication between the Department and public libraries about Department plans and projects is adequate.</i>	2.6
<i>D. Communication between the Department and public libraries regarding public library needs is adequate.</i>	3.0
<i>E. Overall, Department services are satisfactory.</i>	2.5

3. Are there any other services not now offered by the Department of Library, Archives and Public Records that should be provided?

32% YES

42% NO

25% NO RESPONSE

Comments written in this section are presented below.

4. Please indicate your assessment of the quality of work conducted by the Library Extension Division by responding to the following statements. (1=strongly agree, 5=strongly disagree)

<u>Statement</u>	<u>Average Rating</u>
A. <i>The decision-making process to award federal LSCA grants is objective and fair.</i>	2.4
B. <i>Policy priorities for the allocation of federal funds are decided in a fair and open manner and are responsive to state needs.</i>	2.6
C. <i>Public libraries have ample input into implementing the statewide plan.</i>	2.5
D. <i>The Library Extension Division is responsive to public library needs for programs and services.</i>	2.5
E. <i>Where there is a gap at the local level, the Library Extension Division provides valuable services that would not otherwise be available.</i>	2.7

5. Please indicate the quality of service provided by the Library Extension Division for the following items. (Figures presented indicate percentage of total respondents who checked that category.)

<u>Type of Service or Program</u>	<u>Excellent</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>	<u>Not provided but needed</u>	<u>Not provided &amp; not needed</u>	<u>NR*</u>
<i>statistical information on public libraries</i>	36%	38	12	2	0	2	10
<i>assistance in applying for state and federal grants</i>	10	32	16	8	2	14	18
<i>grant application workshops</i>	16	40	12	8	2	6	16
<i>film and video selection</i>	16	38	20	2	2	10	12

Type of Service or Program	Excellent	Good	Fair	Poor	Not provided but needed	Not provided & not needed	NR*
basic skills workshop	18	34	10	8	2	2	26
assistance in developing the county-wide plan	10	16	6	6	16	14	32
assistance with automation systems	2	8	10	14	18	18	30
summer reading program	42	34	16	4	0	2	2
special workshops	14	38	14	2	4	6	22
FAX network	12	22	12	2	6	14	32
continuing education calendar	36	40	4	0	2	4	14

\*no response

Survey responses included the following written remarks:

*Most support goes to county libraries. The library tax has assisted them and not aided public libraries. This is an area that needs work.*

*LED has come a long way with their new director and other staff.*

*[We need] leadership in resource sharing, networking and library development. Leadership in political lobbying on behalf of libraries, leadership in resolving library district situation in Maricopa County. State library here has little presence. LED is out of touch and not too effective in dealing with local libraries.*

*So far, my impression of personnel and services is excellent.*

*There appears to be a lack of recognition on the part of LED that in the age of FAX machines, computer modems, and satellite disk technologies, small rural public libraries are now being called upon to provide full library services to a growing class of professional patrons living away from central cities. . . . LED representatives should visit all public libraries at least once a year to discuss their problems and dreams. Some Arizona public libraries have never been visited.*

*Suggestions for improving the LSCA grant process: 1) Permit longer presentations. There is presently only a 10 minute time slot allotted to public libraries to discuss requests for many thousands of federal dollars; 2) All finalists for Title II grants should receive site visits by LED staff; 3) A full disclosure of reasons for denying Title II grants should be provided in order to assure a meaningful appeal process; and 4) Appeal*

processes should be fair and objective, with full time allotted for presentations.

I do not feel that the Department utilizes either its statistics or its consulting staff to adequately assess the needs of public libraries in Arizona against national norms. As a result, the Department has been ineffective in articulating the broad needs of our state's public libraries to the legislature and to local government. . . . The Department has not provided any consulting or mediating services among the municipal public libraries and the county free library district in . . . Maricopa [county]. The result has been a continuing friction that has festered into what can be called "punitive" legislation that threatens public library development throughout Arizona. . . . [The Department] shows a reluctance to tackle anything controversial or anything with the potential for controversy.

[We need:] 1) adequate recognition of and remuneration for statewide library services provided by metropolitan libraries. Neither is currently adequate; 2) Fully state funded projects of proven value [such as] interlibrary loan center, SOLAR, etc.; 3) Machine lending service for handicapped needs to be placed in the Library for the Blind.

[The Department should provide] consulting services--advice and recommendations for library automation. Coordination of automated services statewide. . . . To the extent that I have requested assistance, the agency [LED] has been most responsive. I have also heard favorable reports on many of their workshops, etc.

LED has made dramatic changes in service (for the better) since the arrival of Tony Miele.

Information should be provided about all services funded through federal and state monies and the processes to be followed and the availability of the same to small rural public libraries in Arizona should be publicized.

[The department needs to] take a strong lead in the areas of networking and collection analysis and development. The A/V department could serve a wider audience through purchasing videos, computer software with public performance rights (or in public domain), and then duplicating and distributing these in libraries throughout the state.

[The department should provide] effective leadership for library development throughout the state. The fundamental problem with the Department of Library, Archives and Public Records is poor management. There is lack of vision about what could and should be done. For this reason, and also because of poor supervision and poor use of time, the Department is neither efficient nor effective. The results that we see are very slow in coming and are superficial and mediocre when we do see them.

The Library for the Blind has been and continues to be excellence personified when it comes to responsiveness, anticipation of needs, public service attitude, etc. The research library is slow to respond and even then requires several transfers (talk to X, who says talk to Y, who says talk to Z) before beginning to really address the issue. Library Extension is, for the most part, a reactive division with minimal field work or contacts (except at conferences or formal gatherings). The administrative

unit is almost never interactive with the library community unless there is a ceremonial function to attend.

When called to ask for assistance and help, and no one is in who can respond, it would be helpful if someone would eventually get back with answers or suggestions. Our largest problem is no response--unanswered queries.

More sessions/workshops out of the Phoenix area.

In the past, books were sent to public libraries. Now they don't do that but it would be nice.

Leadership and professionalism--the state librarian should be an advocate for public libraries; exercise cautiousness in dealing with sensitive and political issues; provide a dynamic plan and coordination for public libraries.

[The department should provide] effective long range planning, training and subsequent follow up on that training. . . . [They] need to take a more active role in long range state-wide plan instead of abdicating responsibility to committees and then blaming them if things don't work out.



APPENDIX B

SURVEY OF STATE LEGISLATORS AND LEGISLATIVE STAFF

A survey containing the following questions was mailed to all Arizona state legislators and to 44 legislative staff. Of 134 questionnaires mailed, 63 were returned for a response rate of 47 percent.

1. Are you familiar with the following divisions of the Department of Library, Archives and Public Records?

<u>Division or Unit</u>	<u>Response</u>	<u>All Respondents (134/63)*</u>	<u>House Members (60/26)</u>	<u>House Staff (23/12)</u>	<u>Senate Members (30/11)</u>	<u>Senate Staff (21/14)</u>
<i>Research</i>	YES	76%	58	100	64	100
	NO	21	35	0	36	0
	NR**	3	8	0	0	0
<i>Archives</i>	YES	76	69	75	82	86
	NO	21	23	25	18	14
	NR	3	8	0	0	0
<i>Records Management</i>	YES	32	39	25	18	36
	NO	59	46	67	82	57
	NR	9	15	8	0	7
<i>Capitol Museum</i>	YES	89	85	92	100	86
	NO	6	4	8	0	14
	NR	5	11	0	0	0
<i>Carnegie Library Museum</i>	YES	43	58	42	55	7
	NO	48	23	58	45	86
	NR	9	19	0	0	7
<i>Library for the Blind</i>	YES	17	35	0	18	0
	NO	71	46	100	82	86
	NR	12	19	0	0	14
<i>Library Extension</i>	YES	16	27	17	9	0
	NO	73	54	83	91	86
	NR	11	19	0	0	14

\*(surveys mailed/surveys returned)

\*\*no response

2. How often do you use or visit the following divisions or services?

<u>Division or Unit</u>	<u>Response</u>	<u>All Respondents</u>	<u>House Members</u>	<u>House Staff</u>	<u>Senate Members</u>	<u>Senate Staff</u>
<i>Research</i>	Annually	24%	4	33	27	14
	Monthly	25	19	25	9	50
	Weekly	13	0	33	9	21
	Daily	2	0	0	0	7
	Never	32	50	0	55	7
	NR*	5	7	8	0	0
<i>Archives</i>	Annually	37	27	42	45	43
	Monthly	13	8	25	0	21
	Weekly	5	4	8	0	7
	Daily	0	0	0	0	0
	Never	36	46	17	55	21
	NR	9	15	8	0	7
<i>Records Management</i>	Annually	14	12	17	9	21
	Monthly	5	4	8	0	7
	Weekly	0	0	0	0	0
	Daily	0	0	0	0	0
	Never	68	62	67	82	71
	NR	13	23	8	9	0
<i>State Capitol Museum</i>	Annually	33	27	42	36	36
	Monthly	32	46	17	36	14
	Weekly	8	4	17	9	7
	Daily	3	4	0	0	7
	Never	21	15	17	18	36
	NR	3	4	8	0	0
<i>Carnegie Library Museum</i>	Annually	29	42	17	36	7
	Monthly	3	8	0	0	0
	Weekly	2	4	0	0	0
	Daily	0	0	0	0	0
	Never	63	42	75	64	93
	NR	3	4	8	0	0
<i>Library for the Blind</i>	Annually	5	12	0	0	0
	Monthly	0	0	0	0	0
	Weekly	0	0	0	0	0
	Daily	0	0	0	0	0
	Never	89	73	100	100	100
	NR	6	15	0	0	0
<i>Library Extension</i>	Annually	5	12	0	0	0
	Monthly	3	4	8	0	0
	Weekly	0	0	0	0	0
	Daily	0	0	0	0	0
	Never	86	69	92	100	100
	NR	6	15	0	0	0

<u>Division or Unit</u>	<u>Response</u>	<u>All Respondents</u>	<u>House Members</u>	<u>House Staff</u>	<u>Senate Members</u>	<u>Senate Staff</u>
Capitol Museum Shop	Annually	35	23	50	45	36
	Monthly	32	50	17	27	14
	Weekly	3	4	0	0	7
	Daily	2	4	0	0	0
	Never	25	15	25	27	43
	NR	3	0	17	0	0

\*no response

3. For what purposes do you use the information provided by the Department of Library, Archives and Public Records?

<u>Response</u>	<u>Total Responses</u>
<i>To draft legislation</i>	22
<i>To answer constituent questions</i>	30
<i>For committee testimony</i>	18
<i>To support discussions during floor debate</i>	13
<i>Other</i>	23
<i>No response</i>	19

4. Please indicate your assessment of the quality of work conducted by the Department by responding to the following statements. (1=strongly agree, 5=strongly disagree)

<u>Statement</u>	<u>All Responses</u>	<u>House Members</u>	<u>House Staff</u>	<u>Senate Members</u>	<u>Senate Staff</u>
<i>A. The Dept. works well with legislative committees and staff</i>	1.8	1.9	1.5	**	1.8
<i>B. Legislators are adequately involved in overseeing Dept. activities.</i>	3.0	**	**	**	**
<i>C. The Dept. is responsive to legislative requests.</i>	1.8	1.8	1.5	**	1.8
<i>D. The Dept. is a good resource for legislative work.</i>	1.8	1.9	1.5	3.0	1.5
<i>E. Library staff are helpful and courteous.</i>	1.5	1.5	1.4	1.7	1.5
<i>F. The Dept. should remain a legislative agency.</i>	1.8	1.8	1.1	**	1.9

5. Are there any services not now performed by the Department of Library, Archives and Public Records that should be performed?

10 % YES

49% NO

41% NO RESPONSE

Arizona State Library and Archives



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