ARIZONA MUNICIPAL CLERKS' ASSOCIATION
EXECUTIVE BOARD MEETING AGENDA
Wednesday, May 24, 2023
3:00 p.m.

Formed in 1961

Microsoft Teams meeting

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Committee Members: Darcie McCracken, President; Jennifer Pena, Vice President; Carla Reece, Treasurer; Sarah Siep, Secretary; Teresa Riza, Past President

1. CALL TO ORDER/ROLL CALL

2. MINUTES
   A. Discussion and possible action to approve the April 20, 2023 Executive Board Meeting minutes.

3. IIMC Update – Lisa Garcia

4. NEW BUSINESS

   A. Review, discussion and possible action on proposed revisions to the Records Management Manual/Records Officer Handbook Template. (Ben Lane, Records Committee Chair)

5. COMMITTEE ASSIGNMENTS AND GOALS

   Discussion and possible action regarding providing direction to Committees. Will ask committee chairs to bring back ideas of projects they would also like to work on.

   A. CAMPAIGN FINANCE COMMITTEE (Sharon Antes, Chair; Sherry Aguilar, Co-Chair; Darcie McCracken, Board Liaison)
   B. COMMUNICATION COMMITTEE (Michelle Stanley, Chair; Stacy Fobar, Co-Chair; Carla Reece, Board Liaison)

C. EDUCATION COMMITTEE (Terri Roth, Chair; Rommel Cordova, Co-Chair; Jennifer Pena, Board Liaison)
D. ELECTION COMMITTEE (Linda Mendenhall, Chair; Janet Pierson, Co-Chair; Jennifer Pena, Board Liaison)
E. HANDBOOK AND CONSTITUTION COMMITTEE (Summer Stewart, Chair; Carla Reece, Board Liaison)
F. LEGISLATIVE COMMITTEE (Denise Archibald, Chair; Summer Stewart, Co-Chair; Jennifer Pena, Board Liaison)
G. MEMBERSHIP/MENTORING/REGIONAL LEADERS COMMITTEE (Kara DeArrastia, Chair; Annie Meredith, Co-Chair; Sarah Siep, Board Liaison)
H. RECORDS MANAGEMENT COMMITTEE (Ben Lane, Chair; Cathie Butteweg, Co-Chair; Carla Reece, Board Liaison)
I. SCHOLARSHIP/MARKETING COMMITTEE (Crystal Hadfield, Chair; Kristen Benavidez, Co-Chair; Carla Reece, Board Liaison)

6. GOOD OF THE ORDER/COMMENTS FROM EXECUTIVE BOARD MEMBERS

7. REMINDERS/DEADLINES

    A. Committee applications
    B. COY, DCOY submittals

8. NEXT REGULAR EXECUTIVE BOARD MEETING DATE: Discuss – next meeting is scheduled for June 21, 2023 – any conflicts with anyone attending Academy?

9. ADJOURNMENT

Darcie McCracken, AMCA President

ARIZONA MUNICIPAL CLERKS' ASSOCIATION
EXECUTIVE BOARD MEETING MINUTES
April 20, 2023

1. **Call to Order & Roll Call**
   President McCracken called the meeting to order at 10:05 a.m.

   Board Members Present: Darcie McCracken, President; Jennifer Pena, Vice President; Carla Reece, Treasurer; Sarah Siep, Secretary; Teresa Riza, Past President
   Attending Association Members: Stacey Fobar, Communications Committee; Terri Roth, Education Committee; Linda Mendenhall, Election Committee; Summer Stewart, Handbook and Constitution Committee and Legislative Committee; Kara DeArastia, Membership/Mentoring Committee; Cathie Buttewig, Records Management Committee; and Crystal Hadfield, Scholarship Committee
   Others Present: Sandy Morari, League of AZ Cities & Towns

2. **Minutes**
   Treasurer Reece **MOVED** to approve the February 15, 2023 Executive Board Meeting Minutes; Past President Riza **SECONDED** the motion. Motion **CARRIED** (5-0)

Membership/Mentoring Committee Chair Kara DeArrastia stated that she needed to leave for a Council Meeting so Items were taken out of order with Item 4.F. being first.

IIMC Update – Lisa Garcia

Vice President Garcia said that she would love to have AMCA preview her goals for her Presidential Year before she sends them to IIMC. Leadership, inclusivity and providing services to all of our members is her model for the year. Get one year to do as much as possible, and it's important to have well thought out/detailed goals. Wants to represent our state well.

4. New Business

A. Review and Discussion on the 2023-24 Fiscal Year AMCA Budget. (Sandy Morari, League)

Ms. Morari commented that there were a few housekeeping updates, but overall the financial state is good and there are no issues.

Past President Riza **MOVED** to approve 23/24 FY Budget; Treasurer Reece **SECONDED**. Motion **CARRIED** (5-0).

B. Review, Discussion and Possible Action on the 2023-24 Fiscal Year Services Agreement with the Arizona League of Cities and Towns (Sandy Morari, League)

President McCracken stated that she authorized a change in the dollar amount to $10,000 for the full year of service for Ms. Morari.

Past President Riza commented that this is deserved, the league does a lot for us.

Past President Riza **MOVED** to approve the 23/24 Services Agreement; Treasurer Reece **SECONDED**. Motion **CARRIED** (5-0).

C. Review, Discussion and Possible Action on the 2023 Scholarship Applications (Crystal Hadfield, Scholarship Committee Chair)

Chair Hadfield provided a presentation regarding the eight applications received this year. The Committee's recommendation is to award all eight based on revenue from last year.

Treasurer Reece **MOVED** to approve eight scholarship applications; Past President Riza **SECONDED**. Motion **CARRIED** (5-0).

Recipients will be notified next week.

D. Review, Discussion and Possible Action on Financial Support of the 2024 IIMC Conference (Darcie McCracken, President)

President McCracken addressed an email received from the host city requesting financial support for the 2024 Annual Conference. She is unsure how many Arizona Clerks will be attending because of where the conference is being held.

Secretary Siep asked how much they were requesting.

President McCracken said that it is just a general request.

Past President Riza said she would agree that she wouldn't support giving them a lot, but feels we should give them something. Especially since Ms. Garcia will be getting sworn in.

Ms. Garcia said she received the letter as well, and they are asking for money from her municipality. But she said she would support a fundraiser and would sit down with them in Minnesota to see if there is something else they need. She has also told them that she will promote people attending.

President McCracken said maybe we should hold off until after the conversation in Minneapolis takes place.

Treasurer Reece agreed.

President McCracken said it will get moved out to a future meeting (indefinite) and asked Ms. Morari to take a look at what we could do specifically to help them.

E. Review, Discussion and Possible Action Regarding a Region VIII Joint conference – East & West (Darcie McCracken, President)

President McCracken said this would be an East/West Region Conference, general consensus has been that we would be happy to help for volunteerism but hosting in Arizona she doesn't feel like we are ready to host again.

Board consensus for this.

F. Review, Discussion and Possible Action Regarding Data Collection Form for New AMCA Members (Kara DeArrastia, Membership/Mentoring Committee Chair)

This Item was discussed first and Chair DeArrastia presented the draft form which the Committee has reviewed and recommended for approval. General information collection/some open-ended questions as well, want to be able to celebrate them joining the association.

President McCracken described the form.

Treasurer Reece thanked Ms. DeArrastia and the Committee for putting these forms together.

Treasurer Reece **MOVED** to approve form for use,; Past President Riza **SECONDED**. Motion carried (5-0).

5. Committee Assignments & Goals

A. Campaign Finance – Chair Sharon Antes said there was a meeting on April 13 but it was brief and will have another on April 27. Have set a timeline for what can be presented as suggestions to amend the section of the SOS Election Procedures Manual. Christina is helping with this as well, Whitney from Phoenix is on the Committee and has been very active/helpful. Their recommendations will come to the Board then the League to present to the SOS office. Need clarifications in that chapter.

B. Communications Committee – Chair Michelle Stanley said the spring newsletter should be out next week, then April 30-May 5 is Clerk Week. The Committee has requested a

Proclamation for Clerk Week, Co-Chair is in charge of social media piece of the week. Summer newsletter and annual survey will come out as well.

C. Education Committee – Chair Terri Roth said the Committee will meet next week to review feedback from Spring Best Practices/issue certificates. Submitted Session forms for Annual Conference and awaiting approval.

President McCracken said the sessions went really well yesterday.

Ms. Roth commented on the great presentations from President McCracken Ms. Garcia as well.

D. Election Committee – Chair Linda Mendenhall said the Committee met last month and is getting speakers/topics together and will meet again next week. Plan to do interactive trainings and would like to add a Zoom component if possible. Many new Clerks and Deputy Clerks so want to have a "how to prepare for elections" session as well. Should have outline/topics after their next meeting.

E. Handbook/Constitution Committee & Legislative Committee – Chair Summer Stewart said the Committee met last week to discuss further changes for the updates to the Board (these will be made annually). Also asked about re-distribution of the duties of the EB members because in the next fiscal year there will no longer be a Treasurer.

President McCracken said she would like the Committee to take a stab at that because even this year they will need to redistribute Committee responsibilities.

Ms. Stewart said she will get with President McCracken to discuss how best to allocate those.

President McCracken also suggested setting out the future revisions for each fiscal year until where we get to the final phase.

F. Legislative Committee – Member Summer Stewart said they received feedback from members who responded positively to the weekly summary of the League calls. Reached out to the League and requested they share the recordings of the weekly calls to everyone which they will be doing (along with a summary and transcript).

President McCracken said we are close to the wire regarding the posting/publishing bill should be going to the Committee of the Whole and may have to split. Asked that clerks write a letter expressing how this would benefit our cities and towns/the public. She will share information as we get closer.

G. Membership/Mentoring/Region Leaders – Chair DeArrastia said at the March 20th Meeting members discussed their regular updates on activities in their regions. Still no Region 7 Member has stepped up to fill vacant role, she has spoken with Region 6 and Region 9 members about inviting those members to their meetings. The Committee approved the New Member form, and discussed Best Practices for succession planning in the Clerk's Office/Municipal Clerk's week. The final Committee Meeting will be Monday May 22nd.

President McCracken asked if there has been any interest in Region 7.

Ms. DeArastia said not at this time. She is going to speak with Region 5 and 6 to see if they can invite the members to participate in their meetings. Wants to make the members feel welcomed so she will work on that.

Secretary Siep discussed the point process that Region I Leader Fatima Fernandez and Prescott Deputy City Clerk Jennifer Wiita worked on and members will be getting a point for attendance at May Meeting.

H. Records Management – Vice Chair Cathie Buttewig said the Committee has approved updates and will be presenting the updates at the next Board Meeting.

I. Scholarship/Marketing – Chair Crystal Hadfield thanked the Board for awarding the eight applicants and the Committee is now moving onto fundraising.

6. Good of the Order & Comments from Executive Board Members

None.

7. Reminders & Deadlines

None.

8. Next Regular Executive Board Meeting Date

Next Meeting is Scheduled during IIMC Conference, McCracken asked if we move it out to the next week, May 24th at 3 pm. If that works. Board consensus to move the meeting to later in the week.

9. Adjournment

There being no further business, President McCracken adjourned the meeting at 2:46 pm

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Darcie McCracken, President

ARIZONA MUNICIPAL CLERKS' ASSOCIATION
EXECUTIVE BOARD COMMUNICATION

TO: Darcie McCracken, President

FROM: Records Management Committee

SUBJECT: Committee Request

EXPECTED MEETING DATE: May 24, 2023

Purpose:
To receive Executive Board direction and feedback on proposed revisions to the Records Management Manual / Records Officer Handbook Template.

Summary and Recommendations:
Several years ago, the Records Management Committee developed a Records Management Manual / Records Officer Handbook Template for use by government agencies. The template could be used as a starting point for agencies implementing a Records Management Program or to augment portions of an existing Records Management Program.

Per the charge of the Records Management Committee, the template is reviewed every three years to ensure it is up to date regarding records management related laws and best practices. The Committee spent the last several months reviewing and suggesting proposed changes to the template. The Committee used a collaborative approach to review the template. A Microsoft Teams environment was set up to allow Committee members to suggest edits to a shared document. For several meetings, a section of the template was reviewed with committee members explaining their proposed changes to the other committee members and consensus being sought on the proposed revisions.

Suggested revisions include:

- Updating Statutory references.
- Updating web links.
- Adding "County" to existing "City" and "Town" references.
- Removing reference of "municipality" altogether or replacing with "state or local agency" or "government agency" or "organization".
- Removing reference of "Council" and "Council Reports" altogether or replacing with "governing body" or "legislative reports" respectively.
- Clarifying that Records Manager and Records Administrator are interchangeable terms.
- Removing Scottsdale-specific references. The template was originally based on the Scottsdale Records Management Manual and included several references to Scottsdale-specific policies and authorities, such as Administrative Regulations and personnel hang files.

- Expanding definition of personal identifying information (PII) and provided additional guidance on how to properly redact and destroy PII.
- Adding further clarification regarding why records may need to be kept longer than the State recommended retention period.
- Clarifying process on how to destroy records that are not on an approved retention schedule.
- Adding recommendation that division staff review offsite records that are slated for destruction before the records are destroyed by the vendor.
- Updating list of vendors still providing microfilm services in Arizona.
- Clarifying that permanent records can be imaged if the file format can be upgraded over time.
- Revising the guidance related to the review of retention schedules, which should be reviewed at least annually instead of every two years.
- Clarifying that drafts are most likely subject to public records requests.
- Removing references to "mayor" and replacing with "governing body chair".
- Adding guidance to explain that cloud servers should ideally be located in different states for Essential Records purposes.
- Adding Appendix G – "Collection Development and Acquisitions" – this is a gift management policy that can be applied to collections acquired by the jurisdiction. This policy was drafted by the Records Management Committee and approved by the Executive Board during the 2021-22 meeting year.
- Recommending minor grammatical and punctuation revisions throughout document.

If approved by the Executive Board, the Records Management Committee would work with League Staff to place this template (in PDF and Microsoft Word versions) for use by cities and towns on the AMCA's website. This approved revised version would replace the existing template.

The template can be used and modified by the city or town as needed to meet their needs. The template provides a starting point and initial guidance for a city and town and will most likely need to be modified based on management and legal direction.

The Records Management Committee believes this form will be helpful to jurisdictions looking to update or establish a records management program in their jurisdiction and will be a "value added" benefit for AMCA members.

Decisions from the Board:

1) Provide feedback and direction on the proposed template - "Records Management Manual / Records Officer Handbook".

Attachment(s):
MS Word – Template "Records Management Manual / Records Officer Handbook".

Contact Name and Number:
Ben Lane, Records Management Committee Chair; 480-312-2411

[INSERT YOUR CITY/ ~~OR~~ TOWN OR COUNTY HERE]

Records Management Manual

UPDATED: SEPTEMBER 4, 2018

Important Note: This manual is intended as a template ~~document~~ for cities, ~~and~~ towns, and counties to use as a base to customize to their needs. All sections may not apply to your ~~city or town~~ organization and non-applicable areas should be deleted. The authors have tried to note sections that are legally required by State statute.

Commented [LB1]: will need to update based on Exec Board approval date

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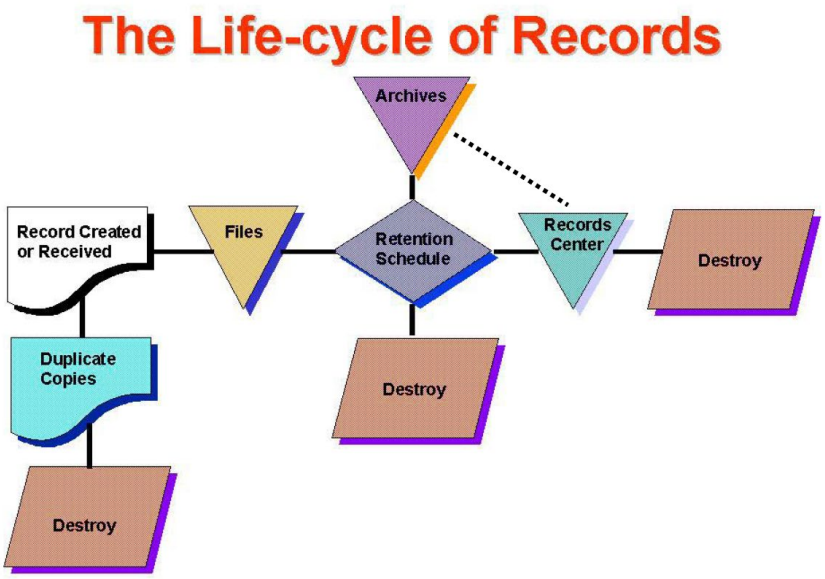
Table of Contents

Commented [AB3R2]: Under OVERVIEW Definitions of Records should be A.R.S 41.151 (not ARS 41-151.18)

[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]
Records Management Manual

All records received or generated by officials, employees, or representatives of the [INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE] in the performance of their duties shall be maintained in accordance with the provisions set forth in this manual.

INTRODUCTION



State law (A.R.S. § 41-151.14) requires every local government to establish and maintain an active, continuing program for the economical and efficient management of records, and to appoint an individual to manage the program in accordance with all applicable statutes. The designated individual oversees the program to ensure that accurate Records Retention Schedules are maintained and adhered to, and that all reporting requirements are met.

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The Local government Records Officer, under authority of the Clerk, **[this may be someone other than the ~~Municipal Clerk~~** Clerk for the day-to-day oversight of the **[INSERT YOUR CITY/TOWN OR COUNTY/TOWN OR COUNTY HERE]** Records Management Program to ensure compliance with State law. Through an ongoing Records Management Program, the Local government Records Manager provides assistance and support to divisions, departments, and offices of the **[INSERT YOUR CITY/TOWN OR COUNTY HERE]** to ensure that Retention Schedules are followed and destructions are properly documented and reported. The Local government Records Manager advises each division, department, or office on conducting records inventories and preparing Records Retention Schedules. The Local government Records Manager may serve as the liaison to the Arizona State Library, Archives and Public Records (State Library). ARS § 41-151.14.a.6

This manual was prepared by the AMCA Records Management Committee to provide written procedures for complying with State law and the Organization's's records management policies and procedures.

The manual includes:

- ***Quick Start Guide – Three Basic Steps of Records Management***
- Overview of the **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** Records Management Program
- Operating Procedures and Guidelines for Complying with State Law and Organization Policies for Managing Public Records:
  - Section 1: Records Retention Schedule
  - Section 2: Records Retention and Storage
  - Section 3: Records Destruction
  - Section 4: Electronic Records, Microfilm, and Document Imaging
  - Section 5: Electronic Messages (E-Mail and Voice Mail)
  - Section 6: Social Networking Utilities
  - Section 7: Records Requests
  - Section 8: Frequently Asked Questions
- Supplemental Information, including:
  - Links to Online Records Management Forms/Information (Appendix A)
  - Instructions for Transferring Records to Offsite Storage (Appendix B)
  - Document Standards (Appendix C)
  - Essential Records Protection and Recovery Plan (Appendix D)
  - Historic Records Preservation (Appendix E)
  - Records Inventory Worksheet (Appendix F)
  - Collection Development and Acquisition (Appendix G)

Commented [LB5]: add county

Commented [LB6]: new attachment - need to include and hyperlink / this is gift section that was worked on last year by RMC and approved by Exec Board

Quick Start Guide: Three Basic Steps of Records Management

Step 1: Prepare and Maintain a Current Retention Schedule

Every division and office of the **[INSERT YOUR CITY/TOWN OR COUNTY HERE]** is required to have a current State-approved Records Retention Schedule (Retention Schedule or Schedule) on file with the Clerk's Office. A State-approved Schedule lists the types of records or record series, maintained by each division; indicates how long documents are to be kept; and authorizes the destruction of non-permanent records once retention periods have been met.

Commented [SG7]: Link is broken, appears to point to somewhere on the City of Scottsdale website.

Section 1 of this manual provides detailed information on how to prepare and maintain a Records Retention Schedule.

Step 2: Retain Records According to an Approved Retention Schedule

Every division of the **[INSERT YOUR CITY/TOWN OR COUNTY HERE]** is legally required to comply with its respective Retention Schedule(s); therefore, Schedules are to be followed carefully, consistently, and in a timely manner.

Section 2 of this manual provides detailed information on how to retain and store records.

Step 3: Destroy Records According to an Approved Retention Schedule

Records are to be destroyed promptly and consistently according to a current, State-approved Retention Schedule. An approved Retention Schedule serves as authorization from the State Library to destroy a record once the retention period has been met.

If a record is not listed on a current, State-approved Schedule, or if a record is required beyond the prescribed retention period for litigation or legal discovery, criminal or government investigation, or ongoing audit purposes, ***do not destroy the record***. Whenever there is a question regarding whether a record can be destroyed, call the Local government Records Manager for assistance.

After a document has been destroyed in accordance with an approved Retention Schedule, the division's Records Management Coordinator must document the destruction on a http://chrome-extension//efaidnbmnnnibpcajpcglclefindmkaj/https://azlibrary.gov/sites/default/files/records_certificate_of_records_destruction_10_2022_B.pdf Certificate of Destruction and file the original with the Local government Records Manager. The Local government Records Manager retains a copy for the official files and a copy is to be forwarded to the State Library.

Section 3 of this manual provides detailed information on records destruction.

Where to Go for Help

Section 1, Section 2, and Section 3 contain general guidelines for managing public records, and Section 8 provides answers to many records management "Frequently Asked Questions."

Every division should have an individual designated to manage records, sometimes referred to as a Records Management Coordinator, who is responsible for: reviewing and following the division's Retention Schedule(s), ensuring that the division's records are maintained according to the State approved Retention Schedule(s); and notifying the Local government Records Manager when records management responsibilities transition to another staff member. The Records Management Coordinator can answer specific questions regarding his or her division's records and reports.

Commented [SG8]: Link broken, points to City of Scottsdale website. Town of Prescott Valley refers to this individual as a 'department/division records clerk'.

The Local government Records Manager is available to answer records management questions and to assist in the preparation and update of forms and reports.

OVERVIEW

Purpose

The **[INSERT YOUR CITY/TOWN OR COUNTY HERE]** Records Management Program was established to provide a comprehensive and cost-effective method for maintaining, preserving, and disposing of records in compliance with State law.

The Records Management Program is applicable to all divisions, officials, employees, and representatives of the **[INSERT YOUR CITY/TOWN OR COUNTY HERE]**. All records defined under A.R.S. § 41-151.18, including records maintained by the **[INSERT YOUR CITY/TOWN OR COUNTY HERE]**, are the property of the State of Arizona. No local government official or employee has any personal or proprietary right to such records, even though he or she may have developed, created, or compiled the record. Unauthorized removal, destruction, or use of local government records is prohibited.

Authority [insert your local government's authorities – this may include code sections, administrative regulations and document standards, among others]

[INSERT YOUR CITY/TOWN OR COUNTY AUTHORITY HERE]

[INSERT YOUR CITY/TOWN OR COUNTY AUTHORITY HERE]

[INSERT YOUR CITY/TOWN OR COUNTY AUTHORITY HERE]

Arizona Supreme Court Administrative Order No. 2007-83

Administrative Order Nos. 2007-83 and 2008-88 adopt the Retention Schedule identifying the length of time court records must be kept prior to destruction, and purge lists identifying documents to be removed from case files before storage or replication.

Arizona Revised Statutes

Arizona Revised Statutes are available online at: Arizona Revised Statues

A.R.S. § 38-421 – Destruction of Public Records

~~A.R.S. § 38-421~~ A.R.S § 38-421 declares the destruction of public records by a public officer without authorization, or who permits another to do so, a class 4 felony, and by persons other than a public officer, a class 6 felony. Stealing, mutilating, defacing, altering, falsifying, removing or secreting public records are also felony offenses.

A.R.S. § 41-151.14 – Public Records Management

A.R.S. § 41-151. 14 directs each governing body within the State to establish and maintain a records management program, provides a definition for "records management," and sets forth the classification and penalty for violating the statute.

A.R.S. § 41-151.15 – Preservation of Public Records

Commented [SG9]: This statute refers to Az uniform laws commission; membership; duties.
ARS 41-151(2) defines what constitutes a 'record'. May want to make as hyperlink to ARS for consistency with other ARS reference in doc. Link is: https://www.azleg.gov/viewdocument/?docName=https://www.azleg.gov/ars/41/00151.htm

Commented [SG10]: Neither of these admin orders have, or refer to, 'purge lists'; can be found in AZ Code of Judicial Administration 4-302. Most recent updates to court's retention can be found in Admin Order Nos 2021-09, 2018-53 & 2017-73.

Commented [LB11R10]: may need to add a caveat in this area related to whether Clerks work with Judges or not

Commented [SG12]: Edit link to point to: https://www.azleg.gov/arstitle/

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A.R.S. § 41-151.15 declares all records made or received by public officials of the State in the course of their public duties to be the property of the State. Public records are not personal property, nor are they the property of a specific agency or political subdivision. The statute also prohibits the destruction or disposition of any public record unless the Department of Library, Archives and Public Records has determined that the record has no further administrative, legal, fiscal, research, or other value.

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A.R.S. § 41-151 – Definition of Records

A.R.S. § 41-151 provides the definition of a record.

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A.R.S. § 18-522 – Anti-Identification Procedures

A.R.S. § 18-522 requires government agencies to ensure that the personal identifying information of individuals or businesses, collected or obtained by the agency, is secure and cannot be accessed or viewed unless authorized by law.

A.R.S. § 44-7601 – Discarding and disposing of records containing personal identifying information; civil penalty; enforcement; definition

A.R.S. § 44-7601 requires the local government to ensure that records containing personal information, as defined in the statute, are not discarded or disposed of without first redacting the personal information or destroying the records by shredding or incinerating the records.

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Objectives

The primary goal of the Records Management Program is to provide for efficient, economical, and effective control over the creation, distribution, maintenance, use, preservation, and disposition of all **[INSERT YOUR CITY/TOWN OR COUNTY HERE]** records, regardless of physical form or characteristic.

The Records Management Program objectives are to:

- Provide written guidelines and procedures for the creation, retention, and disposition of the local government's records to ensure consistency and compliance with State law.
- Evaluate and determine the disposition of each record series based on whether it has permanent or archival research value, and whether it is to be retained and/or microfilmed.
- Ensure periodic review and updating of the Records Retention Schedules.
- Review and recommend efficient and cost-effective methods for record storage and retrieval.
- Develop a plan for evaluating, identifying, protecting, and recovering the local government's mission critical records (Essential Records Protection and Recovery Plan).
- Develop a process for evaluating, identifying, preserving, and protecting the local government's historic documents (Historic Records Preservation).

Duties and Responsibilities

Clerk

The Clerk is the Chief Records Management Officer of the **[INSERT YOUR CITY/TOWN OR COUNTY HERE]** and is responsible for administering the local government's Records Management Program.

The Clerk:

- Develops, approves, and applies standards for the evaluation of records for preservation, retention, transfer, and disposal.
- Develops, approves, and applies general guidelines for the creation and version control of official local government documents (agendas, minutes, contracts, resolutions, ordinances, and publications).
- Confers with the local government attorney, as needed, for legal review of new records management policies and procedures prior to implementation.
- Confers with the local government manager, as needed, for approval of the Records Management Manual and Records Management Administrative Guidelines and Regulations prior to implementation.

Records Manager

The Records Manager is responsible for the day-to-day oversight of the Records Management Program.

The Records Manager:

- Oversees the daily operation of the Records Management Program to ensure compliance with State law.
- Serves as the liaison to the State Library, Archives and Public Records Division.
- Prepares annual written records management progress reports if required by the local local government.
- Assists individual divisions in establishing an internal records program for active and inactive records.
- Drafts, revises, and communicates the guidelines and procedures for the management and disposal of division records.
- Prepares and maintains the Records Management Manual.
- Provides training in the fundamentals of the Records Management Program.
- Forwards new or amended Retention Schedules and requests for document imaging implementation to the State Library Director for approval.
- Files destruction reports with the State Library.
- Documents the use of an active records management program by maintaining Retention Schedules, destruction reports, and other documents showing adherence to a methodic system of records retention and destruction.
- When applicable, monitors the offsite storage contract and serves as the liaison between the local government and the offsite storage account manager.
- Prepares and maintains the Essential Records Protection and Recovery Plan.

- Evaluates and classifies historical and archival documents, and oversees their storage and preservation.
- Assists divisions and offices of the local government in the identification and preservation of historic and essential records.
- Makes recommendations on budgetary needs to ensure the Records Management Program is funded appropriately.

Department Director

Each Department Director, or designee, is responsible for ensuring that the records management goals and objectives are met. This includes approving the timely retention and disposition of records, and overseeing any other activities necessary for the maintenance, retention, and/or preservation of official records in compliance with State law.

The Department Director or designee:

- Adopts new or revised division, office, or department Retention Schedule(s).
- Approves the disposal of division or office records that have met retention requirements.
- Designates one or more individuals to serve as division, department, or office Records Management Coordinator(s).

Records Management Coordinator(s)

The Records Management Coordinator is responsible for coordinating the records management responsibilities for his/her respective division or office.

The Records Management Coordinator:

- Maintains division or department records in a neat and orderly manner to facilitate the maintenance, retrieval, storage, and disposition of the records in compliance with State law.
- Ensures compliance with current State-approved Retention Schedules for all existing records created within the division or department.
- Reviews, periodically, but not less than once per year, all existing records maintained within the division.
- Recommends changes to Retention Schedules to ensure proper retention of records.
- Ensures microfilming and imaging system approvals are reviewed every five years per Arizona State Library, Archives and Public Records standards.
- Identifies and transfers inactive records to the offsite facility, if applicable.
- Identifies documents, regardless of form, that meet disposition requirements and ensures proper disposition.
- Prepares records management-related forms and reports.
- Works with the Records Manager to ensure compliance with records management laws, policies, and guidelines.

- Notifies the Records Manager when records management responsibilities are transitioning to another staff member.

Officials, Employees, and Representatives

All officials, employees, and representatives shall adhere to records management policies and procedures. No official or employee has a personal or proprietary right to such records, even though he or she may have developed, created, or compiled the record.

Unauthorized removal, destruction, or use of records by any official, employee, or representative of the [INSERT YOUR CITY/TOWN OR COUNTY HERE] is prohibited.

Duty to Protect Personal Information

A.R.S. § 18-522 requires government agencies to ensure that the personal identifying information of individuals or businesses, collected or obtained by the agency, is secure and cannot be accessed or viewed unless authorized by law. The law cautions that nothing in A.R.S. § 41-4172 is to be construed to restrict, diminish or otherwise affect the provisions of Title 39, Public Records Laws, and affirms that the Organization is still required to provide access to non-confidential public records as required by A.R.S. § 39-121.

A.R.S. § 44-7601 requires the Organization to ensure that records containing personal information, as defined in the statute, are not discarded or disposed of without first redacting the personal information or destroying the records.

Specifically, A.R.S. § 44-7601 provides:

An entity shall not knowingly discard or dispose of records or documents without redacting the information or destroying the records or documents if the records or documents contain an individual's first and last name or first initial and last name in combination with a corresponding complete:

1. Social security number.
2. Credit card, charge card or debit card number.
3. Retirement account number.
4. Savings, checking or securities entitlement account number.
5. Driver's license number or non-operating identification license number.

To comply with the provisions of A.R.S. §§ 18-522 and 44-7601, all divisions and offices must:

1. Review the records they maintain on a regular basis to identify personal information.
2. Establish written procedures to identify records containing personal information and protect that information from unauthorized access.
3. Annually, review and update procedures concerning the collection of identifying information to verify whether the information collected is essential to the records being created or received.

Divisions should not collect unnecessary information, especially personal information.

Divisions also must ensure the proper disposition of records containing personal information. Paper records containing personal information must be shredded, unless an equally cost-effective and

thorough method is used. The data in electronic records (including, computers, disks, CDs, magnetic tapes, hard drives, laptops, PDAs, cell phones, or any other electronic media or hardware containing personal identifying information) must be permanently erased.

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For assistance with the interpretation of, or compliance with, these statutes, refer to **[INSERT YOUR COMPLIANCE HERE]**

DEFINITIONS

Archival Paper

Archival paper is a high quality, high fiber content, alkaline buffered, acid free paper used to preserve permanent documents. Other paper that has been tested and approved by the State Library as suitable for permanent records may also be considered "archival" quality. A representative from the State Library can conduct a simple test to determine whether a specific type or brand of paper is suitable for permanent documents. The Records Manager is available to arrange testing by the State Library.

Division

"Division" for records management purposes includes all divisions, departments, and offices of the **[INSERT YOUR CITY/TOWN OR COUNTY HERE]**. Although permissible, departments are not required to have a separate schedule and may be included on the division (wide) schedule.

Employee

"Employee" for records management purposes shall mean any official; regular, part-time, or contract employee; representative; or volunteer of the **[INSERT YOUR CITY/TOWN OR COUNTY HERE]**.

Microfilm

Microfilm is a high-resolution film that records paper images in a reduced format. There are several types of microfilm:

Aperture Card

An aperture card is an IBM card containing an aperture or window into which a single frame of 35mm microfilm is inserted.

Fiche or Microfiche

Fiche or microfiche is a sheet of photographic film containing micro-images in a grid format. Microfiche is usually 148mm X 105mm in size (4" X 6") and is created by a Computer Output Microfilm (COM) process.

Jacket

A jacket is a polyester film laminated to form a clear plastic card with channels, into which strips of 16mm or 35mm film may be inserted. Jackets are usually 4" X 6" and have a frosted strip at the top edge for labeling.

Roll Film

Roll film, also called "reels," is commonly available in 16mm or 35mm wide rolls, usually 4 inches in diameter, holding 100 or 200 feet of film.

Record(s)

A.R.S. § 41-151.18 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 organizations, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained in the record, and includes records that are made confidential by statute."**

To summarize, a record is any recorded information, regardless of medium or characteristics, including any paper, book, microfilm, card, magnetic tape, disk, map, or any copy or printout that has been created, received, or used by an organization as evidence of its activities.

Active Records

A record is considered active as long as the reference value of the record remains high. As a good rule of thumb, any document that is referred to at least six times per year is considered to be an active record.

Electronic Records

Electronic records reside in or are accessed by a computer system or are maintained in a media readable only by a machine or electronic device.

Essential Records

Essential records are any records containing information necessary to continue its key functions and activities and to continue to support citizens in the event of an emergency or disaster. Essential records are not necessarily permanent, nor are they required to be maintained on a special medium. However, every division or office is required to implement and adhere to the Essential Records Protection and Recovery Plan. In addition, each division is specifically responsible for the identification and protection of its own essential records.

Historical Records

Historical documents are important and valuable documents that have considerable public interest. Historic records document the important issues, people, places, and events of the Organization, and include letters; reports; photographs; papers; and tapes; whether printed, written, or in electronic format. Age alone is not an indicator that a document has, or ever will have, historic significance. The historic value of a record is distinguished by the unique character, of an otherwise routine Organization record, that captures the details of the Organization's progress over the years. Historical records can document:

- a controversial issue;
- a program, project, event or issue that results in a significant change to the local community;
- a program, project, event or issue that involves prominent people, places or events; and/or

- a program, project, event or issue that resulted in media attention locally, statewide or nationally.

For more information on Historical Records, please see Appendix E.

Inactive Records

A record is considered to be inactive when there is limited or no longer any activity or interest in the document.

Non-Permanent Records

A non-permanent record is any record that has a time-defined retention period, even if the retention period spans a great number of years. Non-permanent records must be retained and destroyed in compliance with a current State-approved Retention Schedule.

If a document (or documents) in a non-permanent record series is deemed to have historic value, the document is reclassified as a permanent record and cannot be destroyed. The remaining non-historic documents in the series are still considered non-permanent records and must be destroyed according to their respective Retention Schedule.

The list of non-permanent records is quite extensive; however, a few examples include:

- Administrative and Personnel Files
- Budget and Financial Records
- Legal Opinions
- Executive Session Minutes
- Most Contracts

Non-Records

A.R.S. § 41-151.18 defines non-records as:

> **Library or museum material made or acquired solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference and stocks of publications or documents intended for sale or distribution to interested persons.*"***

While the definition of records encompasses a broad spectrum of recorded information, not all recorded information is considered a record. Some examples of non-record materials include:

- Duplicate or extra copies of correspondence and reports initiated by another division and retained for informational purposes.
- Catalogs, trade journals, and other publications.
- Correspondence of short-term value, such as transmittal memos, courtesy copies of memos, etc.
- Informational or courtesy copies of records in which no documented administrative action is taken.
- "While-You-Were-Out" telephone logs (copy pages).

Non-record material should not be filed or retained in the same file with record material. Sometimes documents that are normally considered non-records, such as transmittals or routing slips, will acquire record status if they clarify the matter being documented. Such distinctions require care and discretion when filing.

Generally, for records management purposes, multiple copies of a single document are non-records. One copy of the document, preferably the original, must be designated as the official record, listed on a current, State-approved Retention Schedule, and retained according to the Schedule. The remaining copies of the document are considered to be ~~a~~ non-record, reference copies generated for informational purposes. Non-record copies should never be kept longer than the retention period established for the official record.

Non-record copies are discoverable and admissible as evidence in court and are subject to public records requests. Non-record copies that are not disposed of at the same time as the official records will then become the official record.

Permanent Records

Permanent records are not scheduled for destruction and are relatively rare, usually comprising three to five percent of a local government's total records. Some examples of permanent records include:

- Minutes of a public body (Council, boards, commissions, committees, as well as their respective subcommittees).
- Resolutions and ordinances of the Council.
- Documents declared by resolution to be a public record.
- One copy of annual reports, such as a City/Town or County or Town Manager Report to the Council.
- Original copy of organizational documentation (for example, the Code or amendments to the Code; major changes in organization structure).
- Mayoral addresses or speeches.
- Records documenting a historic or "landmark" event.

Permanent records have special storage requirements and are to be maintained on high quality, high fiber content, alkaline buffered, acid free paper, often referred to as archival paper, or microfilmed according to State-approved standards. A.R.S. § 39-101 prescribes the material and storage conditions required for permanent public records and the penalty for noncompliance.

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The State also lists standards for permanent and records with long retention periods that are born digitally and which cannot be printed or microfilmed. These records must meet the same standards as permanent records. Currently, there is not an "enduring" analog or electronic format or storage media other than paper or micrographics. Due to the inherent instability, no file format or storage media is durable or lasting. Permanent records stored in electronic and analog formats and media (not in paper or microfilm) require constant migration of file formats and storage media, comprehensive descriptive metadata, as well as adherence to strict compliance and security processes. For example, if records are contained solely in a database or other electronic format, it is important to ensure the database or format is updated or migrated on a consistent basis to ensure ready access to the record and before the database format becomes obsolete.

For more information on imaging standards for permanent records, please see Section 5.4 of ASLAPR's Standards for Permanent Records found at:

https://azlibrary.gov/sites/default/files/arm-standard-for-permanent-records_april_23_2013_signed.pdf

Record Series

A record series is a group of like records filed together and treated as a single unit for record management purposes. For example, a personnel file exists for every employee in the organization. Even though there may be large quantities of these files, with each file containing a variety of documents, they are referred to as a records series – "personnel files" – for record retention purposes.

Records Inventory

A Records Inventory identifies the types and quantity of records maintained by the division and contains an estimate of how long the information in each record series will be needed to accomplish business (often based on retrieval frequency). During their active period, records are retrieved and referred to often. During their inactive period, records are retrieved less than once a month. The combination of the active and inactive period is added together to obtain the total retention period for that record.

Records Retention Schedule

A Records Retention Schedule (also referred to as Retention Schedule or Schedule) is a State-approved timetable that establishes the length of time a record must be kept. The retention requirements listed on State Schedules are based on use or need of the record, and on its administrative, legal, fiscal, or historical value to the [INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]. A Retention Schedule also serves as the required legal authority to dispose of a record once the retention period has been met. Retention Schedules apply to all records regardless of format.

Beginning in 2013, the State began listing only the recommended minimum record retention periods on State General Schedules, leaving it up to each government agency to possibly vary from the minimum and establish the maximum retention periods for its records. ~~Municipalities~~ local governments must keep their records for at least the State recommended minimum retention schedule.

[INSERT YOUR POLICY HERE]

> **EXCEPTION:** Records retained due to litigation, upcoming audits, or criminal/government investigations must be retained until the hold has been lifted and the records have met their maximum retention period.

There may be a need to retain a record series longer than what the Retention Schedule indicates. In this case, written justification stating the need for extending the retention period must be submitted to the Clerk office for approval. However, it is recommended to remain in compliance with your records retention schedule as much as possible.

[INSERT YOUR POLICY HERE]

SECTION 1: RECORDS RETENTION SCHEDULE

All records created and/or maintained by officials, employees, and representatives of the [INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE] must be listed on a Records Retention Schedule.

A Records Retention and Disposition Schedule (also referred to as a Retention Schedule or Schedule) is a document that lists the types of records (record series) maintained by each division, specifies the period of time a record is retained, and authorizes the destruction of non-permanent records.

Types of Retention Schedules

Before preparing a Custom Records Retention Schedule, each division must determine whether a State Retention Schedule will meet its needs.

State Retention Schedule

The Records Management Division of the State Library and Archives has prepared and pre-approved retention schedules for most local government divisions. Copies of the State's Retention Schedules are available through the Secretary of State website: https://www.azlibrary.gov/arm/retention-schedules

Custom Retention Schedule

A Custom Retention Schedule is a Retention Schedule that lists any records that are not listed on a State Schedule but are maintained by the division. Custom retention schedules are only permitted in cases where the public body is creating a records series that is not captured on the State's General Retention Schedules. Custom schedules are truly unique to a specific agency. To help each division identify their records that are not listed on a State Schedule, the **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** is available to assist in the preparation of Custom Schedules.

Commented [AB21]: Should this be the Title of an Individual instead? (e.g.: Records Manager or Records Administrator?

Preparing a Custom Schedule

There are three basic steps to preparing a custom Retention Schedule:

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1. Inventory Record Series
2. Evaluate Record Series
3. Prepare Proposed Custom Retention Schedule
4. Obtain approval of the Proposed Custom Retention Schedule

Step 1: Inventory Record Series

The primary objective of a records inventory is to obtain the data necessary to produce a complete and accurate Retention Schedule. A records inventory identifies the type and quantity of records maintained by a division, and contains an estimate of how long the information contained in each record series will be needed to accomplish Organization business.

While State law does not require an inventory report form, most divisions find it helpful to prepare a written inventory prior to creating a custom Retention Schedule. A Records Inventory Worksheet has been developed that can be used as a tool for conducting a records inventory, see Appendix F.

One worksheet is prepared for each record series maintained by the division. The worksheets are compiled on a list and then transferred to a Records Retention Schedule Form. Once the inventory list is complete, it should be compared to the General Schedule to eliminate any duplication. If a record series is listed on the General Schedule, it may not be listed on a Custom Schedule and no further steps are needed.

Step 2: Evaluate Record Series

After a comprehensive records inventory has been taken, each record series is evaluated and classified as either "permanent," "non-permanent," or "non-record." During the evaluation, an active retention period, and, if needed, an inactive retention period, for each record series is determined. Retention periods are based on the use or need of the record, and on its administrative, legal, fiscal, or archival value. Divisions may make a request to retain records in a series for any length of time needed to conduct business; however, the final determination of government record retention periods is the responsibility of the State Library (A.R.S. §§ 41-151.15 and 41-151.19).

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Step 3: Prepare Proposed Custom Schedule

Once a division's records have been inventoried and evaluated, compare the list to the State's Schedules. If the record series are not listed on a State Schedule then a Custom Schedule is prepared. Use a State Schedule as a guide to create a Custom Schedule. Determine an estimated active, inactive, and total retention period for each record series.

Division information is listed on the cover page and on the top left corner of each page of the Schedule. The cover page also includes a Schedule number, which is assigned by the State Library; authorization and approval by the Arizona State Library, Archives and Public Records; and the name of the person responsible for preparing the Schedule. The middle section of the form consists of four columns that must be completed by the submitting division.

Item # Assign each record series a number. The first record series is designated as number one, the second number two, and so on. Although it is permissible to list the records in random order, most divisions list them alphabetically for ease of reference.

Record Series. Name each record type (i.e., Contracts, License Renewals, Monthly Reports, Ordinances, Personnel files, etc.). A description and/or listing of the records in the series is helpful for determining what records are included in the records series.

Retention (Yrs.). Indicate the total retention period for each record series, both as an active and inactive record. The information for this column is determined at the time the records are inventoried and evaluated. Many factors (e.g., federal and state regulations, audit requirements, or the ability to effectively conduct Organization business) can affect how long records in a series must be retained.

Start of Retention. Define when the retention period for a record series begins (e.g., after case closed, end of fiscal year, after calendar year prepared, or after election). Special instructions, such as "review before destruction," may also be noted in this column. When listing non-record material on a Custom Schedule, a thorough description of the use and proposed retention of the material, as well as a notation clearly indicating that it is not the record copy, should be listed in the remarks column.

Step 4: Obtain Approval of the Proposed Custom Retention Schedule

New or revised Retention Schedules are submitted to the **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]**, who is responsible for forwarding them to the State Library for approval. The

Commented [AB24]: I believe this should be Title of an individual.

State reviews the draft document, makes any necessary changes, and returns a clean copy of the Schedule to **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]**. The **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** forwards the Schedule to the originating division for approval and then resubmits the approved Schedule to the State. The State will issue final approval and return a signed copy to the **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]**. The **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** retains the original State Schedule and sends a copy to the originating division's **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]**.

Commented [AB25]: Title of the Individual responsible

A division may appeal any change made by the State Library and Archives, Records Management Division, but the final decision belongs to the State.

Amending a Retention Schedule

Prior approval from the State Library is required before a new or revised Schedule can be placed into effect. The State accepts hand-corrected or redlined Schedules, and will return an updated (clean copy) Schedule to the **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** to obtain final approval. A revised, clean copy version of the Schedule also may be submitted. Requests for an amendment to an approved Schedule must be submitted to the **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** for transmittal to the State.

Following a Retention Schedule

State and local agencies within Arizona are legally required to comply with the State's retention schedules. To ensure compliance, Retention Schedules must be followed carefully and consistently. However, following a Retention Schedule should not preempt good judgment. Records required beyond the prescribed retention period because of litigation or legal discovery, criminal or government investigation, or ongoing audit purposes must be maintained until cleared by the appropriate authority.

Contact your Organizations Attorney whenever records are required because of litigation or legal discovery, criminal or government investigation, or ongoing audit purposes. Similarly, if records should be kept beyond their retention period because they have historic or archival value, discuss with any internal committee that is set up to oversee your records, such as a Records Control Committee or contact the State to seek their feedback on whether the document has historical value and possibly retained longer or permanently. Contact the Clerk's Office or Records Administrator to request their assistance in determining the archival value of the document(s) in question.

> ***A division or office must have written approval from the Clerk's Office or Records Administrator before maintaining records longer than the time authorized by an approved Retention Schedule or Organization policy.***

Periodic Review

The Clerk's Office or Records Administrator will work with each division to ensure Retention Schedules are reviewed, as needed or at least every two years, for possible updates, which includes the addition of a records series.

SECTION 2: RECORDS RETENTION AND STORAGE

Most records have active and inactive stages in their lifecycle. For purposes of retention, these records are grouped within the same series. However, for filing purposes, active and inactive files are usually maintained separately because it can be more cost-effective or a better use of space to store inactive files at an offsite storage facility, if available. Active or inactive records that must be retained longer than twenty years may require microfilming for preservation purposes.

Active Records

Paper records are usually retained within the division until they are no longer considered active. In most cases, a record must be referred to more than six times per year to be considered active. When activity drops to a very low level, consideration should be given to whether it would be more cost effective to transfer the records to an offsite storage facility, if available.

Inactive Records

When records are seldom referred to, their continued onsite retention becomes impractical. For this reason, most inactive records are stored in an offsite storage facility until retention requirements have been met. By storing inactive records offsite, costs associated with storing the same records within prime office space may be reduced or a better use of space.

The **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** contracts with a vendor for records storage, retrieval, destruction and microfilming services. A record stored at the offsite facility remains available to the division until the recommended legal retention period has been met.

Divisions should determine which records are eligible for transfer to the offsite storage facility, if available, by periodically (every 3, 4, 6 to 12 months) reviewing their respective Records Retention Schedules.

Offsite Storage Facility (if applicable)

The **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** has a organization wide arrangement with **[NAME OF STORAGE FACILITY VENDOR]** for records storage, retrieval, and destruction services. Non-records and office copies of records should not be considered for offsite storage. Records that are not specifically listed on an approved Retention Schedule may not be stored offsite. A step-by-step guide for transferring records to and from the offsite storage facility can be found in Appendix B.

The **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** serves as a liaison to the offsite storage facility to support the needs and concerns for each division.

SECTION 3: RECORDS DESTRUCTION

Records that must be retained beyond the specified retention period for litigation or legal discovery, criminal or government investigation, or ongoing audit purposes may not be destroyed until cleared by the appropriate authority (Clerk working in conjunction with the Organizations Attorney, Organizations Auditor, or Finance Officer, as applicable).

A State-approved (General or Custom) Retention Schedule grants continuing authority to dispose of records that have met their scheduled retention period. The **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** may dispose of listed records after completing a records destruction form. The State requires the lawful and timely destruction of eligible records. A record should not be destroyed while it still has significant value. However, records that must be retained beyond the specified retention period for litigation or legal discovery, criminal or government investigation, or ongoing audit purposes may not be destroyed until cleared by the appropriate authority (Clerk working in conjunction with the Organizations Attorney, Organizations Auditor, or Finance Office, as applicable).

Destruction of official **[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE]** records must be reported to the State Library after the records have been destroyed (A.R.S. § 41-151.19).

Authorization to Destroy Records

There are only three instances when a record may be destroyed:

- If the record has met the Retention Schedule cut off period.
- If the record is on a State-approved imaging request and the record has been imaged and checked to ensure the quality of the image.
- If data entered from the record is entered into another record that has captured the essence of the original record.

A State-approved Retention Schedule and completed records destruction form serves as authorization to destroy records at a designated point in time. No further approval is required prior to destroying records after the scheduled retention period has been met and a records destruction form is approved.

If a record is not listed on a current, State-approved Schedule, or if a record is required beyond the prescribed retention period for litigation or legal discovery, criminal or government investigation, or ongoing audit purposes, ***do not destroy the record***. The Clerk's office or the Records Administrator should be contacted if there is a question about whether a record may be destroyed.

Disposal of Records on Approved Schedules

Once a document has been destroyed in accordance with a State-approved Schedule, the division must document the destruction on a State Certificate of Records Destruction Form. The Clerk or the Records Administrator will retain a copy of the destruction form for the official files and forward the original report to the State.

The division is responsible for completing a State Certificate of Records Destruction Form for records that are destroyed at the offsite storage facility. The Clerk or the Records Administrator will retain a copy of the destruction form for the official files and forward the original report to the State.

Retaining Records After the Scheduled Retention Period Has Been Met

Authority from the Clerk or the Records Administrator is required to hold records longer than their approved retention. Reasons for retaining a record or records beyond the retention date include:

- The record is involved in litigation or legal discovery (when necessary, the Clerk or the Records Administrator will consult with the Organizations Attorney to determine the disposition of a record or records involved in litigation).
- The record is involved in a criminal or government investigation.
- The record is involved in an ongoing audit.
- It is determined that a record or record series may have historic value to the organization.
- The record is involved with other federal requirements, such as funding.

Disposal of Records Not Listed on Approved Schedules

A division record that is not listed on an approved Retention Schedule may not be destroyed until written approval from the Arizona State Library, Archives and Public Records is obtained. To obtain written authorization from the State, the division must fill out a Single Request for Records Destruction or Transfer Form and submit the completed form to the Clerk or the Records Administrator. The ~~Municipal Clerk~~Clerk Administrator will retain a copy of the request form and forward the original to the State Library for processing.

Once approval for destruction of the record(s) is received from the State Library, the division will receive notification from the Clerk or the Records Administrator that the record(s) can be legally disposed of according to established records management procedures. Approval from the State of the Single Request for Records Destruction or Transfer also serves as the Report of Destruction and no further reports are required.

> ***The single request for destruction is not intended to replace a division's Retention Schedule. It should only be used for records the division no longer creates and has no intention of creating again.***

Methods of Destruction

> ***Depositing records containing sensitive information in a landfill is not acceptable for confidential records unless the documents have been cross-cut shredded or burned.***

Recycling is the recommended, cost effective method for destroying non-restricted or non-confidential public records. Placing records into recycle bins located throughout the **[INSERT YOUR CITY, TOWN OR ~~TOWN~~COUNTY HERE]** facilities is recommended for large quantities of records, which contain no personal, confidential, or restricted information.

For documents containing personal, confidential, or restricted information, cross-cut shredding or burning is the recommended destruction method and complies with all statutory requirements

concerning the protection of citizens' personal information. However, commercial confidential shredding of records can be expensive and should be provided for in the division's/department's budget.

If the destruction of records is carried out by the offsite storage vendor the destruction must be documented and reported. The offsite storage vendor is required by contract to provide destruction reports to the requesting division. The division is responsible for completing a State Certificate of Records Destruction Form and then sending it to the Clerk or the Records Administrator for submission to the State Library.

SECTION 4: ELECTRONIC RECORDS, MICROFILM, & DOCUMENT IMAGING

All records, regardless of format, are to be maintained according to an approved Records Retention Schedule. The retention and destruction of an electronic record, microfilm, or image is the same as for the paper copy of the same record. A Certificate of Records Destruction Form is required for destruction of electronic records, images, and microfilm once the retention period for that record or record series has been met.

Electronic Records

Electronic records reside in or are accessed by a computer system or are maintained in a media that can only be read by a machine or electronic device.

A.R.S. § 44-7041 allows public agencies to create, receive, and maintain electronic records as long as the records comply with all other statutory records requirements. A division/department must have approval from the State before converting paper or microfilm records to electronic records (scanning).

Commented [PH26]: Broken link A.R.S. § 44-7041

A significant benefit of documents in an electronic format is that these documents can be searched electronically for specific words or references.

Creating an electronic record "up-front," rather than converting it from another media, is a cost effective and efficient method of managing most non-permanent records. Some examples of electronic documents that may be maintained in electronic form include: Word documents, Excel spreadsheets, data input into a computer file, incoming and outgoing e-mail, large reports or statements sent by an outside agency or company for storage on a computer network, scanned or imaged documents, digital photographs, and online forms completed/submitted by citizens or vendors.

Micrographics

All records sent for microfilming must be specifically listed on an approved Retention Schedule.

Microfilm is a high-resolution film that duplicates paper images into a reduced format. Once the film has been inspected, and if authority has been given to destroy the hard copy original record (source document), the microfilm original replaces the source document and becomes the primary or record copy. Microfilm is normally used for permanent documents. There are several companies that provides microfilming services in Arizona, including:

Commented [PH27]: Should this list be updated??? I believe that Data Storage Services and Southwest Doc Conversion Services are no longer available in Arizona or may have changed names.

- DataBank
- Data Storage Services
- Doculynx
- ICM Document Solutions
- Southwest Document Conversion Services

As a reminder, when records have been microfilmed, tested, and stored properly, they become legal documents and are admissible as evidence in court.

Benefits for Microfilming

- Saves space – microfilming records can save over 90 percent of the space needed to store the same records on paper.
- Accessibility – data on film is physically more accessible and can be referenced more quickly than data on paper.

- Improved security – for disaster recovery purposes, duplicate (backup) copies can be stored offsite for minimal cost.
- Efficiency – microfilm helps maintain file integrity and reduces misfiles as long as the documents go through a quality assurance process to ensure they are in the correct order before being microfilmed.

Reasons for Microfilming

- ✓ Limited storage space.
- ✓ Managing records that must be retained permanently, or over a long period of time.
- ✓ Meeting State storage requirements for permanent records.
- ✓ Storing a copy of essential records offsite as part of a disaster recovery/essential records protection plan.

Limitations

Microfilming records is an expensive and labor-intensive procedure; therefore, it is important to weigh benefits against cost. Quite often, it is not cost effective to film inactive records unless long-term retention is required.

It is also important to take into consideration the physical condition of a record prior to microfilming. The quality of a copy made from microfilm will suffer if original documents are in poor condition, created on colored paper with certain colors of ink, or are on very thin paper, such as onionskin.

If a decision is made to microfilm a particular record series, the paper form of the record should not be retained unless the records have archival value or must be transferred to the State.**[INSERT YOUR POLICY HERE]** Any deviation from this procedure must be authorized by the Clerk or the Records Administrator reflected on a Retention Schedule, and noted on a Request for Document Imaging of Public Records Form.

Records to be microfilmed should be filmed as soon as activity diminishes (related to a project or program) or there is a sufficient volume of records (at least one box) to justify processing the records.

Document Imaging (non-permanent records)

For document imaging of permanent records refer here for Permanent Records Standards.

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Document imaging is an efficient method for storing, indexing, and retrieving records. The images do not take up physical space and can be viewed using a standard computer display or printed to hard copy form. Imaging is not a State-approved method for retaining permanent records.

Imaging can work well for:

- ✓ Documents with a relatively short retention period.
- ✓ Documents with high retrieval activity.
- ✓ Documents containing information which must be accessible to more than one division or the public simultaneously.
- ✓ Large volume documents.
- ✓ Records that have no legal requirements for retaining a paper copy of the original document.
- ✓ Multiple copies of documents that exist in multiple places.

If office efficiency and increased productivity justify the imaging of very long-term or permanent records, microfilming the records and then scanning the microfilm may be more cost effective than scanning alone.

State Approval for Document Imaging and Microfilming

Divisions must obtain prior approval from the State Library for all micrographic and electronic document imaging applications.

Prior approval from the State Library is required when a public agency implements a system to convert a paper record series to microfilm or electronic media. When a public agency creates or receives documents in an electronic format, rather than converting them from paper, approval from the State is not required.

A.R.S. §§ 41-151.16 and 44-7041 permit each agency of the State, or its political subdivisions, to implement a program for the production or reproduction of public records on film or electronic media, providing that the program has been pre-approved by the State Library Director. The required elements of such a program must include: the type of records to be produced or reproduced, the method of production or reproduction, the method of storage, and the equipment to be used. Violation of this section is a class 2 misdemeanor.

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To obtain approval to image or microfilm records, a Request for Document Imaging of Public Records Form must be completed and submitted to the Clerk or the Records Administrator. The Municipal ClerkClerk Administrator will forward the request to the State Library for approval, and notify the division when approval has been granted.

State-approved imaging applications must be resubmitted to the State for approval every five years.

SECTION 5: ELECTRONIC MESSAGES (E-MAIL AND VOICE MAIL)

Electronic messages, including e-mail and voice messages, are subject to preservation standards (A.R.S. § 41-151.15) and may be subject to public disclosure.

The majority of electronic communication such as e-mail, instant messaging, text or voice mail messages are communications that function much like phone calls and, for records management purposes, are considered to be transitory records. Electronic messages cannot be given blanket retention periods because they are not technically a type of record or record series.

Deleting of transitory e-mail, instant messages, text and voice mail messages, within 30 days of receipt, provides economical and efficient records management of information on Organizations servers. Electronic messages that are considered to be official records must be maintained for the same length of time and destroyed in the same manner as a paper record. For example, a State Schedule requires that citizen complaints be retained for three years. Therefore, all citizen complaints sent via e-mail, left as voice mail messages, sent via U.S. Mail, or received in any other electronic or paper format must be retained for three years.

Non-Records

Non-record electronic messages that do not meet the statutory definition of a record (A.R.S. § 41-151.18) are to be deleted from the user's inbox after the reference value has been served. The destruction of non-record electronic messages does not need to be reported on a Certificate of Records Destruction Form. It is recommended that most non-record electronic messages be deleted from the sender's and/or receiver's personal computer and from the Organizations server on a monthly basis.

Records

If an electronic message is determined to be an official record (as defined in A.R.S. § 41-151.18) with a short retention period (one year for e-mail and three years for an electronic, or scanned, document), it can be maintained and stored in its original electronic format. An official electronic record that requires long-term retention may need to be transferred to another medium prior to storage to ensure the long-term retention period is met.

Short-Term

Records with a retention period of one year or less can be maintained effectively in a personal computer on the Organizations's network. These types of records may include, but are not limited to: appointment calendars, logs/rosters, activity reports (weekly, monthly, quarterly), transitory materials, etc. These short-term records can be organized and stored in online "folders" to facilitate document retrieval.

Long-Term

Highly active, long-term electronic records may be maintained online for convenience initially, and then stored offline when activity diminishes.

Electronic messages requiring long-term retention (more than one year) can be maintained in one of several types of offline systems. It is possible to transfer an electronic message to an offline system by printing the record to paper or saving it as a PDF. Electronic records printed to paper must contain the full text message, including any links within the e-mail. Attachments to an e-mail must also be

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Commented [PH34R33]: 41-151-18 is the wrong statute for definition of a record. I believe it is now just 41-151

Commented [PH35]: What exactly is this referencing? What record series?

Commented [LB36R35]: needs to be changed or taken out / need to discuss how long to keep transitory emails

Commented [LB37R35]: discuss working with IT and educating staff on saving emails that are records

Commented [LB38R35]: consider how emails are backed up on server / can employees delete emails

Commented [LB39R35]: there are tools available to look at records requests, such as e-discovery

printed and attached to the paper record of the e-mail for retention purposes. Offline storage may also include computer output microfilm (COM), magnetic tape, or optical disk (CDs, DVDs).

Organizations Policies on Internet and E-Mail Use

The electronic communications capabilities of the Organizations provide the framework for members of the organization to conduct business efficiently and to better serve the community. Employees are expected to adhere to the Organizations policies relating to these resources that are referenced below. Employees who violate these policies may be subject to disciplinary action.

These policies are available on the Organizations's Intranet at:

http://citylink.ci.[INSERT YOUR CITY/TOWN OR COUNTY OR TOWN HERE].az.us/City/AR

Commented [PH40]: For emails that need to be maintained longer than general correspondence, we are looking at archiving within the O365 environment, which will allow us to leverage Purview production for e-discovery. Prior to this, emails were with longer retention were moved to our records management system (OnBase) from Outlook. Has "cloud-storage" been addressed anywhere... should it be?

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SECTION 6: SOCIAL NETWORKING UTILITIES

Government entities and public officials taking advantage of social networking utilities (Twitter, Facebook, Instagram, LinkedIn, etc.) must comply with applicable statutes, rules, and ethical obligations, including Arizona's open meeting and public records laws.

Members of a public body subject to the open meeting law must conduct business at public meetings and may not use technological devices to circumvent the open meeting law requirements.

Records created and received in connection with the transaction of public records must be "promptly" made available for public inspection and copy. (A.R.S. § 39-121.01)

Since cities and towns normally do not have contracts with social networking vendors, such as Facebook, Twitter, and Instagram, it is important for ~~municipalities~~ local governments to preserve their postings per the applicable retention schedule. There are third party vendors that will archive posts. Cities and towns can also save their posts by copying the posts into a document or spreadsheet and keeping for the required retention period.

Commented [JW42]: Discuss retention and destruction of Social Media posts? Does that need to be reported on a Certificate of Destruction?

Commented [LB43R42]: who has authority to post
how long to keep post
either keep in spreadsheet or vendor such as archive social
how long to keep per retention schedule

Commented [LB44R42]: note that you should keep comments separately as there is not a contract between city and social media company normally

Commented [PH45]: This may need to be updated if HB2808 passes.

Commented [JW46]: for consistency, as on page 1, Organizations

SECTION 7: RECORDS REQUESTS

The Arizona Revised Statutes provide citizens and the press the right to inspect and obtain copies of public records, and are important to fostering open government and maintaining public trust. The Organization strives to meet its obligations to the public under the laws, while protecting The organizations and individual legal interests, as allowed by law.

Responding to Records Requests

[INSERT YOUR CITY/TOWN OR COUNTY ~~OR TOWN~~ POLICY HERE] guides City/town or county staff through the process of filling a public records request.

If further assistance is needed to fill the request, contact the Clerk or Records Administrator.

Redaction Guidelines

There are times when records contain information that will need to be redacted prior to releasing the record to the public. **[INSERT YOUR CITY/TOWN OR COUNTY ~~OR TOWN~~ POLICY HERE]** provides guidelines on information that will need to be redacted.

Releasing Working Copies and Draft Documents

[INSERT YOUR CITY/TOWN OR COUNTY ~~OR TOWN~~ POLICY HERE] Once the final document is released, working copies or drafts may not need to be retained and can be destroyed. However, if they are retained and a records request is received, those records are subject to disclosure.

Releasing Court Records

Employees of the Organizations Court are required to follow the Court's internal procedures for the release of Court records, established in accordance with Arizona Supreme Court Rules.

SECTION 8: FREQUENTLY ASKED QUESTIONS

What is a record?

State Statute 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 informational and historical value of data contained in the record, and includes records that are made confidential by statute." (A.R.S. § 41-151.18)**

To summarize, a record is any recorded information, regardless of medium or characteristics, including any paper, book, microfilm, card, magnetic tape, disk, map, or any copy or printout created, received, or used by an organization as evidence of its activities.

To whom do Local government Records belong, the division or the [INSERT YOUR ~~OR TOWN~~CITY/TOWN OR COUNTY HERE]?

Neither. Records, as defined above, are the property of the State of Arizona. Local government records are not personal property, even if the records were created for personal convenience, nor are they the property of a specific agency or political subdivision (A.R.S. § 41-151.15). The individual divisions within the **[INSERT YOUR CITY/TOWN OR COUNTY ~~OR TOWN~~ HERE]**, as well as the Clerk's Office, simply serve as custodians of local government records.

What is the difference between an official record and a non-record?

The format of a document does not identify a document as being a record or a non-record. Record and non-record documents may be created or received in a variety of formats, including paper, microfilm, electronic media, and e-mail communications.

A record is the final version of any document created or received by a staff member in the course of performing official duties, functions, and responsibilities. Once a document type has been identified as an official record, it must be included on a Records Retention Schedule and retained and destroyed according to that Schedule.

Non-records are primarily used for reference or research, or for the administrative convenience of the office. Examples of non-records include: newsletters, publications, and reference/research material. Informational or courtesy copies of official records maintained by another division or office are also non-records.

Generally, for records management purposes, multiple copies of a single document are non-records. One copy of the document, usually the original, must be designated as the official record, listed on the responsible division's Retention Schedule, and retained according to the schedule. The remaining copies of the document are considered non-record, reference copies generated for informational purposes. These non-record copies should never be kept longer than the retention period established for the official record.

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- Non-record copies that are not disposed of at the same time as the official record will then become the official record.

Many non-records have no value once the material has been read, while others have long term value. Non-records should be retained only as long as the administrative, reference, or research value exists.

Non-record material should not be filed or retained in the same file with record material. Sometimes documents that are normally considered non-records, such as transmittals or routing slips, will acquire record status if they serve to clarify a matter being documented. Such distinctions require care and discretion when filing.

What is the difference between a non-permanent and a permanent record?

A non-permanent record is any record that has a time-defined retention period, even if the retention period spans a great number of years or even decades. Non-permanent records must be retained and destroyed in compliance with a State-approved Retention Schedule.

If a document (or documents) in a non-permanent record series is deemed to have historic value, the document is reclassified as a permanent record and cannot be destroyed. The remaining non-historic documents in the series are still considered non-permanent records and must be destroyed according to their respective Retention Schedule.

The list of non-permanent records is quite extensive; however, a few examples include:

- Administrative and Personnel Files
- Budget and Financial Records
- Legal Opinions
- All Executive Session Minutes
- Most Contracts

Permanent records are not scheduled for destruction and are relatively rare, usually comprising three to five percent of a local government's total records.

Some examples of permanent records include:

- Council meeting minutes.
- Minutes of boards, commissions, and committees.
- Resolutions and ordinances of the Local governments Council.
- Documents declared by resolution to be a public record.
- One copy of the Local governments's annual reports.
- Original copy of organizational documentation (for example, the City Charter or amendments to the City Charter; major changes in organization structure).
- Records documenting a historic or "landmark" event.

Permanent records have special storage requirements and are to be maintained on high quality, high fiber content paper, often referred to as archival paper, or microfilmed according to State-approved standards. The standards also give guidance on how to preserve records created electronically that

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cannot be printed or microfilmed. A.R.S. § 39-101 prescribes the material and storage conditions required for permanent public records and the penalty for noncompliance.

What is a Records Retention Schedule?

A Records Retention Schedule (also referred to as Retention Schedule or schedule) is a State-approved timetable which establishes the length of time a record must be kept. The retention schedule dates listed on State-approved schedules are based on use or need of the record, and on its administrative, legal, fiscal, or archival value to the Organization/~~Town~~. A retention schedule also serves as the required legal authority to destroy a record once the retention period has been met. Retention schedules apply to both electronic and paper documents.

A retention schedule must list all records maintained by a division or office, identify when the retention period for each type of record begins and ends, and indicate when non-permanent records are to be destroyed.

Every division is legally required to have a current, State-approved retention schedule on file with the Clerk's Office. Records must be maintained in accordance with a State-approved schedule. Copies of the approved retention schedules can be found on the State's website.

For more information about Retention Schedules, contact your Clerk or the Records Administrator.

Types of Retention Schedules

Before preparing a Retention Schedule, each division must decide whether a State Retention Schedule will meet its needs.

State Retention Schedule

The State Library Records Management Division has prepared and pre-approved retention schedules (State Schedules or Schedules) for most local government divisions. Copies of the State's Retention Schedules are available through the State's website.

Custom Retention Schedule

A Custom Retention Schedule is a Retention Schedule that lists any records that are not listed on a State Schedule but are maintained by the division. To help each division identify their records that are not listed on a State Schedule, the Clerk or the Records Administrator is available to assist in the preparation of Custom Schedules.

Does my division have a Retention Schedule?

To comply with State law, every local government is required to have a current State-approved Retention Schedule. For administrative purposes, every division is required to have a Retention Schedule on file with the Clerk's Office. Retention Schedules are to be reviewed and updated every two years, even if no changes are made. Copies of the Retention Schedules are available on the State's website.

If your division or office does not have a schedule listed, you must notify the Clerk's office before any records are destroyed.

What if my division does not have a State-approved Retention Schedule?

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There are four basic steps to preparing a Retention Schedule:

1. Inventory Each Record Series
2. Evaluate Each Record Series
3. Prepare a Retention Schedule
4. Obtain State Approval

Step 1: Inventory Each Record Series

The primary objective of a records inventory is to obtain the data necessary to produce a complete and accurate Retention Schedule. A records inventory identifies the type and quantity of records that are maintained by a division, and includes an estimate of how long the information contained in each record series will be needed to accomplish Local government business (often based on retrieval frequency).

While State law does not require an inventory report form, most divisions find it helpful to prepare a written inventory prior to creating a Retention Schedule. A sample Records Inventory Worksheet can be found in Appendix F.

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Step 2: Evaluate Each Record Series

After a comprehensive records inventory has been taken, each record series is evaluated and classified as either "permanent," "non-permanent," or "non-record." During the evaluation, an active retention period, and, if needed, an inactive retention period, for each record series is determined. Retention periods are based on the use or need of the record, and on its administrative, legal, fiscal, or archival value to the Local government. Divisions or departments may ask to retain records in a series for any length of time needed to conduct business; however, the final determination of government record retention periods is the responsibility of the State of Arizona Library, Archives and Public Records (A.R.S. §§ 41-151.15 and 41-151.19).

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Step 3: Prepare a Records Retention Schedule

Once a division's records have been inventoried, evaluated, and an estimated active, inactive, and total retention period for each record series has been determined, it is time to prepare a Records Retention Schedule. If needed, a State Schedule may be used as a guide to prepare a custom schedule.

Step 4: Obtain Approval of the Proposed Schedule

New or revised Retention Schedules are submitted to the Clerk or the Records Administrator, who is responsible for forwarding them to the State of Arizona Library, Archives and Public Records, Records Management Division for approval. The State reviews the draft document, makes any necessary changes, and returns a clean copy of the schedule to the Local government/Town. The Schedule is then forwarded to the originating division to approve and return to the ~~Municipal Clerk~~ Clerk or Records Administrator for resubmission to the State. The State will issue final approval and return a signed copy to the ~~Municipal~~ Clerk or the Records Administrator The ~~Municipal~~ Clerk or the Records Administrator ginal State Schedule, and sends a copy to the originating division.

A division may appeal any change made by the State of Arizona Library, Archives and Public Records, Records Management Division, but the final decision rests with the State.

What types of documents belong in the supervisor's copy of the employee's personnel file ("Hang File")?

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According to the approved records retention schedule, the supervisor's "Hang File" should contain:

- Copies of all of the employee's Annual Performance Evaluations
- Copies of Awards, Commendations, Certificates, and Official Notices of Disciplinary Actions

The "Hang File" should not contain:

- Accident Reports
- Medical Records
- Training Records
- Time and Leave Records (unless being used as part of an ongoing disciplinary action)
- FMLA Records
- Work Schedules
- Outside Work Requests
- There may be additional records

If you have additional records that do not fit into these categories, please check with the Human Resources Representative or the Local government Records Manager before filing.

How do I report the destruction of records?

By law, all official records, including e-mail and electronic records, must be maintained and destroyed in accordance with a State-approved Retention Schedule. An approved retention schedule serves as the legal authority to destroy records listed on the schedule without any additional authorization from the State. Once retention periods are met, the destruction of an official record must be carefully documented and reported to the State.

After a document has been destroyed in accordance with a State-approved Retention Schedule, the division's Records Management Coordinator must document the destruction on a State Certificate of Records Destruction Form and file it with the Clerk's Office. The Clerk's Office will retain the original for the official files and forward a copy to the State. Records that are destroyed at the Offsite Storage Facility also must be reported on a State Certificate of Records Destruction Form.

Approval from the Clerk's Office is required to hold a record longer than its approved retention period. If a record is not listed on a current, State-approved Retention Schedule, or is required beyond the prescribed retention period for litigation or legal discovery, criminal or government investigation, or ongoing audit purposes, ***do not destroy the record*** and contact the Clerk's Office for assistance***.*** Questions regarding whether a record can be destroyed should be directed to the Clerk's Office.

Most ~~Municipal~~ local government Records are public records and are not considered confidential. Destroy non-confidential records by placing them in a ~~City~~ recycling bin, or, depending on the volume of records, by scheduling them for pickup by a recycling company. Records that are confidential by law, or contain citizens' personal/financial information, must be shredded.

Non-records are to be destroyed immediately after their reference value has been served. Non-records are not included on a retention schedule; therefore, it is not necessary to document or report their destruction. Informational or courtesy copies of official records that are maintained by another division or office are also non-records and must not be kept longer than the original record. Copies that have been kept for a period longer than the official record then become the official record.

For more information regarding the retention and destruction of division records, contact the Records Management Coordinator or the Clerk.

What should be considered before converting paper records to electronic records?

Converting records to an electronic format can be expensive, as well as labor intensive. Before incurring any expense, a complete analysis of the specific needs of the office and the reasons for converting to electronic documents should be conducted. Factors to consider include:

- Benefits of conversion versus cost.
- Consulting the new minimum standards.
- Reasons for the conversion and whether an actual need to convert the records exists. (Simply wanting to keep up with the latest technology is not good justification for conversion.)
- Alternatives. (Is there a more cost-effective solution available?)
- Storage needs. (Is the need for paper copies eliminated?)
- Life expectancy of the electronic medium.

Records with very high activity; multiple, simultaneous users; or that provide online access to public documents may justify conversion. It is usually not cost effective to scan older, non-active records. ***Records due for destruction should not be scanned.***

To obtain approval to image Local government records a Request for Document Imaging of Public Records Form or to microfilm Local government records, a Request for Microfilming of Public Records must be completed and submitted to the Clerk. The ~~Municipal~~ Clerk~~he~~ request to the State Library for approval, and notify the division when approval has been granted.

State-approved micrographic and imaging applications must be resubmitted to the State for approval every five years.

Which type of archival paper should be used to preserve permanent records?

- The fiber content must be cotton or linen, fully bleached wood pulp, or a mixture.
- The paper shall be free of lignin, unbleached wood pulp, or ground wood.
- The pH must be between 7.5 and 9.5.
- The paper must contain at least two percent (2%) calcium or magnesium carbonate as a buffer.

Only purchase paper that specifically meets these conditions. For help in locating or acquiring archival paper, contact the Clerk.

Where can I go for help?

Answers to many records management questions are contained in this manual. Of particular interest are Section 1, Section 2, and Section 3, which contain general guidelines for managing public records.

Every division is responsible for ensuring that records are maintained according to a state-approved retention schedule.

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Who can I contact with questions regarding records management?

Contact the Clerk who can answer specific questions regarding each division's records and reports.

[INSERT CLERK (EXT. XXXX)]

APPENDICES

APPENDIX A: LINKS TO ONLINE RECORDS MANAGEMENT FORMS

APPENDIX B: TRANSFERRING RECORDS TO OFFSITE STORAGE

APPENDIX C: DOCUMENT STANDARDS

APPENDIX D: ESSENTIAL RECORDS PROTECTION AND RECOVERY PLAN

APPENDIX E: HISTORIC RECORDS PRESERVATION

APPENDIX F: RECORD INVENTORY WORKSHEET

APPENDIX A: LINKS TO ONLINE RECORDS MANAGEMENT FORMS/INFORMATION

1. State-approved Records Retention Schedule
2. Report/Certificate of Records Destruction
3. Single Request for Records Destruction or Transfer
4. Arizona State Library Records Officer Handbook
5. Arizona Clerk's Association
6. International Institute of Clerks
7. National Association of Government Archivists and Records Administrators

http://intranet.ci.scottsdale.az.us/clerk/forms/prr.doc

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APPENDIX B: TRANSFERRING RECORDS TO OFFSITE STORAGE

[INSERT YOUR ~~CITY OR TOWN'S~~CITY/TOWN OR COUNTY PROVIDER/PROCEDURE HERE]

APPENDIX C: DOCUMENT STANDARDS

Issued by the [INSERT YOUR CITY ~~OR TOWN~~/TOWN OR COUNTY HERE] Clerk's Office and Approved by the ~~City~~Organization's Manager on [INSERT DATE]
Amended [INSERT DATE]
(Signed Original on File with the Clerk's Office)

Sec. 1 Purpose

To provide guidelines for the construction, control and classification of official documents originated by officials, employees, and representatives of the **[INSERT YOUR ~~CITY OR TOWN~~CITY/TOWN OR COUNTY HERE]**.

Sec. 2 Policies

1. Official documents originated by officials, employees, or representatives of the **[INSERT YOUR ~~CITY OR TOWN~~ CITY/TOWN OR COUNTY HERE]** shall conform to the guidelines below. The provisions of this directive shall not apply when another form of a document is specified or required by law, rule or regulation.
2. Permanent documents must be maintained on high quality, cotton or linen fiber content, alkaline buffered, acid free paper, often referred to as archival paper, or be microfilmed according to State-approved standards.
3. With the exception of agreements and contracts, only one original of an official document may be submitted as the true and final document for signature and retention. The Clerk's Office retains official Local government documents unless the ~~Municipal Clerk~~Clerkther division or individual as the official record holder.
4. Designation of another individual or division as the record holder of an official document shall be in writing, signed by the Clerk, and kept on file in the Clerk's Office. An approved retention schedule may serve as the Clerk's written designation of a division or individual as the official record holder of a specific record or record series.

Sec. 3 Procedures

MINIMUM STANDARDS

At a minimum, official Local government documents should be easy to read and understand; be free from stains, marks, tears, or creases; and include the following information, where applicable:

- Document name, number, and date.
- Running-total page numbers.
- Responsible division and contact information.

In addition, official documents must be created on material that meets legal requirements. For example, all public records, with limited exceptions, must be on eight and one-half by eleven-inch paper (A.R.S. § 39-103). All permanent records, including historic documents, must be maintained on paper that meets State-approved standards.

Format

An Arial, eleven-point font is recommended for official documents, particularly if the document will be scanned and shared electronically. One-inch margins work well for most documents; however, documents that will be recorded, as well as ordinances and resolutions, require a two-inch top margin

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on the first page. If the document to be recorded has a top margin that is less than two inches and cannot be changed, a cover sheet with a two-inch top margin may be used. The cover sheet must include the title and date of the document.

Permanent Documents

Permanent documents must be maintained on high quality, high fiber content paper, often referred to as archival paper, or on paper approved by the State Library. Permanent records may also be preserved by microfilming the documents according to State-approved standards.

Version Control and Classification of Official Documents (This is optional)

Official Local government documents should be classified or marked in such a manner as to indicate the name or title of the document; document number; and date (usually the date prepared, issued, or executed).

The first page of each document shall include the document title and any identifying document or version control number. Subsequent pages of multi-page documents shall include, within a header or footer, the document title, any identifying document or version control number, and running-total page numbers.

When an official document is amended or superseded, subsequent versions must be numbered or marked in a manner that identifies it has been amended or revised.

Marking an official document with descriptive identifiers (e.g., confidential, draft, copy, or final) is strongly encouraged, particularly under the following circumstances:

- A draft or working paper not subject to public disclosure.
- More than one party shares the document.
- The document requires extensive or multiple revisions.
- The document is being provided to another Local government office, the media, or a member of the public.
- The status or nature of the document is in doubt (e.g., draft versus final reports).

RECORDING STANDARDS

Under some circumstances documents may need to be recorded with the Maricopa County Recorder's Office. Recorded documents must conform to your local county's Recording Standards, ARS §11-480, Requirements for Form of Instruments.

When submitting documents for Council approval that require recording, be sure to notify the Clerk's Office in writing of that requirement. Abandonment resolutions and development agreements are examples of documents that may require recordation.

SPECIFIC GUIDELINES

Agreements and Contracts

(Sample procedures below or insert your procedures here)

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The first page of each agreement or contract shall include the document title; contract number; and, if available, expiration date. Subsequent pages of multi-page agreements and contracts shall include the document title, contract number, and running-total page numbers.

The **[CITY OR TOWN CHARTER OR CODE REFERENCE]** states that all contracts shall be executed in the name of the **[INSERT YOUR ~~CITY OR TOWN~~CITY/TOWN OR COUNTY HERE]** by the Mayor and countersigned by the Clerk. Contracts and agreements subject to approval by the Local government Council must contain signature blocks for the Mayor/Chairman and ~~Municipal Clerk~~Clerkre block indicating "*Approved as to form*" for the Local government Attorney.

Depending on the nature of the contract, signature blocks indicating "*Reviewed by*" may be appropriate (e.g., Risk Management Director, Executive Director of division, Contract Administrator).

Whenever possible, the termination date of a contract or agreement should be clearly indicated within the contract.

With very few exceptions, only one copy of a contract may be designated as the true and final document and routed for signature. A certified copy will be provided by the Clerk's Office in response to requests for a signed original or official copy of a contract. If more than one original signed version of a contract or agreement is required (e.g., agreements with federal, state, county, and other local agencies), multiple copies of the agreement, up to a maximum of one original per party, may be submitted for signature.

The Clerk's Office is the official record holder of the Local government's agreements and contracts, unless the ~~Municipal Clerk~~ Clerk writing, another division as the record holder. An approved retention schedule may serve as the Clerk's written designation of a division or individual as the official record holder for a specific type of agreement or contract.

The Clerk assigns a number to each contract before it is presented to the Local government Council for approval. When an agreement or contract is amended or superseded, the ~~Municipal Clerk~~ Clerkbsequent versions in a manner that identifies them as amended or revised. Contract numbers, including numbers for amendments to contracts, must be issued by the ~~Municipal~~ Clerk's Office.~~Clerk~~

Correspondence (Official Letters and Memos)

Under most circumstances, letters and memos are used to convey routine information and are classified as general correspondence.

Some correspondence (e.g., legal opinions, management directives, and conflict of interest statements) is appropriately classified as official correspondence and may require a longer retention period than general correspondence. The Minimum Standards referenced above should be used as a guide for preparing official correspondence.

Council Reports

(Sample procedures below or insert your procedures here)

The link to the Council Report templates can be found in the **[INSERT ~~CITY OR TOWN~~ CITY/TOWN OR COUNTY WEBSITE LINK]** located on the Intranet. Click on "Council Reports" on the left-hand column to access the Council Report templates.

Commented [JW74]: Is this relative to Scottsdale only? Prescott does not have Council Reports, and I assume this means Agendas. Define Council Reports so can be customized to City/Town

Exhibits and Attachments

(Sample procedures below or insert your procedures here)

Exhibits and attachments should be clearly labeled with the document number, running-total page numbers, and date.

For consistency and clarity, a document used to provide supplemental information to a Council Report should be labeled as an "*Attachment*," and supplemental information to an agreement, contract, ordinance, or resolution should be labeled as an "*Exhibit*."

Minutes

(Sample procedures below or insert your procedures here)

Minutes of all [INSERT YOUR ~~CITY OR TOWN~~CITY/TOWN OR COUNTY HERE] public bodies, including, Council, board and commission, and other official Local government meetings must conform to the guidelines contained in this directive. The first page shall include, at a minimum, the document title, meeting date, and specific meeting location. Subsequent pages of multi-page minutes shall include the document title, meeting date, and running-total page numbers.

Minutes of all [INSERT YOUR CITY~~/ OR~~ TOWN COUNTY HERE] public bodies are permanent records and must be maintained on archival paper, or on paper approved by the State Library.

Commented [JW75]: Executive Meeting Minutes have a seven-year retention period GS-1016 Rev.1 RSN 10261

Ordinances and Resolutions

(Sample procedures below or insert your procedures here)

The first page of an ordinance or resolution shall include the document title and number (Ordinance No. ____), as well as the legislative title (summary of legislation to be enacted). Subsequent pages of a multi-page ordinance or resolution shall include a header containing the document title and number and running-total page numbers.

An ordinance or resolution requires the prior review and approval of the Local government Attorney before it can be placed on a Council agenda for consideration. The City Charter also requires that ordinances contain the following enacting clause: "Be it ordained by the Council of the [INSERT YOUR CITY ~~OR~~/ TOWN OR COUNTY HERE] as follows:

An ordinance that modifies the **[INSERT YOUR CITY ~~OR~~ /TOWN OR COUNTY HERE]** Revised Code must be marked in a manner that identifies text additions and deletions. Deletions must be identified by using a strikethrough method. The recommended method for indicating text additions is by shading the text using 10 percent shading. The alternative method for identifying added text is to use all CAPS.

After an ordinance, or a resolution having the effect of an ordinance, has been adopted, the Clerk's Office is responsible for publishing the document in full in the official newspaper of the Local government. If an exhibit, map, table, or other type of document is referenced within the document, it also must be published in full in the newspaper, which can be very costly. In an effort to reduce costs, the following guidelines should be used when preparing an ordinance or a resolution having the effect of an ordinance:

1. If an exhibit, map, table, or other document is not a required component of the ordinance or resolution, do not reference it within the ordinance or resolution.
2. A lengthy document or one which is difficult to reproduce, may be adopted as a public record by resolution and is not required to be published in the newspaper. The Clerk is available to assist with this process.
3. An exhibit that is included as part of an ordinance or resolution must be of high quality and easy to reproduce. If the print is small or unreadable, the newspaper must publish a larger version of the document, thus increasing publication costs.
4. If you are planning to present a lengthy ordinance (more than ten pages) to the Council, notify the Clerk in advance to ensure that publication requirements are met and to minimize associated costs.

Publications

(Sample procedures below or insert your procedures here)

At a minimum, official Local government publications such as Local government brochures, pamphlets, and utility bill inserts should include the date of publication, responsible division, contact information, running-total page numbers, and revision date and version number (if applicable). Official publications should be reviewed by Communications and Public Affairs before printing or publishing the document.

Reports

(Sample procedures below or insert your procedures here)

Permanent records, or records requiring a long retention period (more than 25 years), must be prepared on archival paper to ensure that retention requirements are met.

Commented [PH76]: What about born-digital long-retention or permanent records?

The first page of each report shall include the document title, date, and document number, if applicable. Subsequent pages of multi-page reports require the document title, date, running-total page numbers, and document number, if applicable.

Sec. 4 Program/Process Control

The Clerk and the Local government Records Manager are responsible for reviewing and evaluating the Document Standards informally on an ongoing basis, and formally at least every two years.

Sec. 5 Definitions

Archival paper: Archival paper is a high quality, high fiber content, alkaline buffered, acid free paper used to preserve permanent documents and documents having a long-term retention period. Other paper that has been tested and approved by the State Library as suitable for permanent records may also be considered archival quality. Permanent records may also be preserved by microfilming the documents according to State-approved standards.

Date/document date: Depending on the nature of the document, this date may be the origination or publication date, date signed, or, in some cases, the date of Council approval.

Official records: Ordinances, resolutions, agreements and contracts, minutes of a public body, Council reports, and formal correspondence.

Record series: A group of like records filed together and treated as a single unit for record management purposes.

Running-total page numbers: A page numbering style that identifies both the page number and its relationship to the total number of pages in a document (e.g., Page 1 of 3, Page 2 of 3, Page 3 of 3).

APPENDIX D: ESSENTIAL RECORDS PROTECTION AND RECOVERY PLAN

Purpose

The **[INSERT YOUR CITY ~~OR /~~TOWN OR COUNTY HERE]**'s Essential Records Protection and Recovery Plan identifies essential records and establishes guidelines for the preservation and access of information necessary for the Local government to continue its key functions during an emergency or disaster.

The objectives of the Local government's Essential Records Protection and Recovery Plan, hereinafter referred to as the Essential Records Plan, or Plan, are to:

- Identify records necessary for maintaining business operations during emergency situations
- Identify records necessary for performing or reconstructing each division's most critical functions
- Identify records protecting the legal and financial rights of the Local government, its employees, and citizens
- Develop and implement cost effective methods for protecting essential records from loss, misuse, modification, and unauthorized access
- Develop procedures and an action plan to assess damage and to begin recovery or reconstruction of **[INSERT YOUR CITY ~~OR /~~TOWN COUNTY HERE]** essential records affected by an emergency or disaster

Authority

The Office of the Clerk prepared this plan in accordance with State requirements listed below.

A.R.S. § 41-151.14(A)(2) requires the head of each state and local agency to make and maintain records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures and essential transactions of the agency.

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A.R.S. § 41-151.14(A)(5) requires the head of each state and local agency to submit to the [State Library] director lists of all essential public records in the custody of the agency.

Commented [PH78]: Statute should be 41-151-14(A)(4)
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A.R.S. § 41-151.15(A) declares that all records made or received by public officials or employees of this state in the course of their public duties are the property of the state. Except as provided in this article, the [State Library] director *and every other custodian of public records shall carefully protect and preserve the records from deterioration, mutilation, loss or destruction and, when advisable, shall cause them to be properly repaired and renovated.*

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Responsibilities

The Clerk, Local government Records Manager, Executive Directors, and Division Records Management Coordinators are critical to the success of the Essential Records Plan, providing assistance and support to Local government personnel in the identification, inventory, protection, storage, accessibility and update of essential records.

The Clerk is the Chief Records Management Officer for the Local government and approves the Local government's Essential Records Plan.

The Local government Records Manager oversees the daily implementation of the Essential Records Plan, including preparing, maintaining, and updating the Plan, as necessary, and ensuring that a current copy of the approved Plan is online and available within each division.

Executive Directors are responsible for reviewing and approving the Division Essential Records List and the Division Records Recovery Team List, and for ensuring that these lists are complete and current. Executive Directors ensure that each division is in compliance with the procedures outlined in the Essential Records Plan and that all division personnel are familiar with the Plan.

Division Records Management Coordinators work with the Local government Records Manager to identify, backup and store essential records within divisions. Division Records Management Coordinators are responsible for completing the Division Essential Records List and the Division Records Recovery Team List and filing them with the Local government Records Manager. Division Records Management Coordinators are required to review these lists on an annual basis, update as necessary, and file any changes with the Local government Records Manager within five business days. In the event no changes are required, the Division Records Management Coordinator shall forward a memo to the Local government Records Manager indicating the date of the review and stating that no changes are necessary.

During emergency situations, Division Records Management Coordinators are responsible for assessing damage to essential records, establishing safe storage locations, coordinating salvage efforts, and providing Executive Directors with situation reports.

Identifying Essential Records

Essential records consist of two main types:

- Emergency Operating Records – Records essential for the continued operation or function of a division during and after an emergency.
- Rights and Interests Records – Records essential to the protection of the legal and financial needs of the division or office, as well as records documenting individual rights affected by the division's or office's activities and decisions. Rights and Interests Records include records that document the restriction of public access to areas of Local government property (e.g., no trespassing on the Water Campus, closing of Local government parks, creating or enforcing curfews, fire restrictions in the mountain preserve, the opening of new preserves or restricting public access to preserves). Examples of Rights and Interests Records that affect individual rights include policies and procedures, ordinances, regulations, and division rules.

The Local government's essential records must be available to Local government officials and employees to ensure continuity of service to citizens, businesses, and employees; to conduct official business, especially in times of disaster or emergency; and, to pay, account for, and collect financial obligations.

Each Local government division is responsible for identifying and protecting its own essential records in compliance with the Local government's Essential Records Plan. Essential records are to be maintained securely, be protected by a backup method (e.g., CDs, microfilm, scanned images or paper copies), and be accessible by authorized personnel. All essential electronic records should be backed up daily. Finally, emergency operating records (records essential to division operations during emergency situations) should not be maintained on any computer that is dependent upon an outside power source.

Procedures

Every division or office must have a Division Essential Records List and a Division Records Recovery Team List on file with the Clerk's Office. The Division Records Management Coordinator is responsible for updating these lists as changes occur, or, at a minimum, on an annual basis.

Essential records identified by the Division Records Management Coordinator are to be backed up in a format which allows immediate accessibility during emergency situations. Essential records maintained on a computer must be maintained on the division's shared drive or on the Local government server, never on a personal computer's hard drive. Essential records maintained on tapes, CDs, or DVDs must be duplicated and the duplicate copy stored offsite. Paper records determined to be essential must be microfilmed or scanned, and the film or discs stored offsite.

Activation of Essential Records Plan

During an emergency situation, implementation of the Essential Records Plan shall consist of the actions on the checklist below:

Records Recovery Procedure Checklist (these are examples; insert/revised as needed)

1. _____ Division Executive Director notifies Division Records Recovery Team of the disaster.

2. _____ Division Executive Director informs team members of the type of disaster, location of the disaster, estimated extent of damage, and to whom and where to report.

3. _____ Division Records Recovery Team members obtain a situation report and instructions from the official in charge of the emergency response. (Team members must not interfere with police or fire operations.)

4. _____ If necessary, and only after authorized by police or fire personnel, team members enter the affected offices to examine any damaged records and determine the extent of the damage to the records.

5. _____ Division Records Management Coordinator, or other designated member of the Division Records Recovery Team, identifies and lists the essential records to be reconstructed.

6. _____ Division Records Management Coordinator, or other designated member of the Division Records Recovery Team, retrieves the essential records backups and begins the reconstruction process.

7. _____ Team members index all non-essential records that cannot be salvaged and report them as destroyed.

8. _____ Division Records Management Coordinator, or other designated member of the Division Records Recovery Team, submits daily situation reports to the Division Executive Director.

Division Essential Records List

Division: _____ Office: _____

Records Management Coordinator _____ Phone # _____

Record Series _____

Media _____ Backup Media _____

Location of Office _____

Location of Record _____

Location of Backup _____

Offsite Storage Location _____

Offsite Contact Person _____ Phone # _____

Record Series _____

Media _____ Backup Media _____

Location of Office _____

Location of Record _____

Location of Backup _____

Offsite Storage Location _____

Offsite Contact Person _____ Phone # _____

Record Series _____

Media _____ Backup Media _____

Location of Office _____

Location of Record _____

Location of Backup _____

Offsite Storage Location _____

Offsite Contact Person _____ Phone # _____

<u>Division Records Recovery Team List</u>

Division Manager (or Chief): ____
Work Phone No.: __________________
Cell Phone No.: __________________
Home Phone No.: ___________________
Home Address: ___________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Assistant Manager (or Deputy Chief): ____
Work Phone No.: __________________
Cell Phone No.: __________________
Home Phone No.: ___________________
Home Address: ___________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Division Records Management Coordinator:
____
Work Phone No.: __________________
Cell Phone No.: __________________
Home Phone No.: ___________________
Home Address: ___________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Recovery Team Staff Personnel: ____
Work Phone No.: __________________
Cell Phone No.: __________________
Home Phone No.: ___________________
Home Address: ___________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Recovery Team Staff Personnel: ____
Work Phone No.: __________________
Cell Phone No.: __________________
Home Phone No.: ___________________
Home Address: ___________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Recovery Team Staff Personnel: ____
Work Phone No.: __________________
Cell Phone No.: __________________
Home Phone No.: ___________________
Home Address: ___________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead

(e.g., a Police Department Information Officer with access to necessary information).

Sample Form: Division Essential Records List

Division: Community and Economic Development Office: Planning

Records Management Coordinator: Sue Landreth Phone # (480) 312-7083

Record Series Plans

Media Original Paper Backup Media Microfilm

Location of Office 7447 E. Indian School

Location of Record Records Room, Main Floor

Location of Backup Film: Recall America

Offsite Storage Location 1255 S. Pasadena, Mesa, AZ 85210

Offsite Contact Person Janet McFate Phone # (480) 644-1800

Record Series Elevation Certificates

Media Paper Backup Media Microfilm

Location of Office 7447 E. Indian School Road

Location of Record Records Room, Main Floor

Location of Backup Film: Recall America

Offsite Storage Location 1255 S. Pasadena, Mesa, AZ 85210

Offsite Contact Person Janet McFate Phone # (480) 644-1800

Record Series _____

Media _____ Backup Media _____

Location of Office _____

Location of Record _____

Location of Backup _____

Offsite Storage Location _____

Offsite Contact Person _____ Phone # _____

Sample Form: Division Records Recovery Team List

Division Manager (or Chief): Carolyn Jagger, Clerk
Work Phone No.: (480) 312-2411
Cell Phone No.: ____________________
Home Phone No.: ____________________
Home Address: ____________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Assistant Manager (or Deputy Chief): Karen Dingman, Deputy Clerk / Local government Records Manager
Work Phone No.: (480) 312-2413
Cell Phone No.: ____________________
Home Phone No.: ____________________
Home Address: ____________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Division Records Management Coordinator: Katie Stevens, Office Coordinator Manager
Work Phone No.: (480) 312-2726
Cell Phone No.: ____________________
Home Phone No.: ____________________
Home Address: ____________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Recovery Team Staff Personnel: ____
Work Phone No.: ____________________
Cell Phone No.: ____________________
Home Phone No.: ____________________
Home Address: ____________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Recovery Team Staff Personnel: ____
Work Phone No.: ____________________
Cell Phone No.: ____________________
Home Phone No.: ____________________
Home Address: ____________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

Recovery Team Staff Personnel: ____
Work Phone No.: ____________________
Cell Phone No.: ____________________
Home Phone No.: ____________________
Home Address: ____________________
Note: If numbers are unlisted or confidential do not use without prior approval, or use a contact person instead (e.g., a Police Department Information Officer with access to necessary information).

APPENDIX E: HISTORIC RECORDS PRESERVATION

Identifying Historic Records

Historic records document the important issues, people, places, and events of the Local government, and include letters; reports; photographs; papers; and tapes; whether printed, written, or in electronic format.

Age alone is not an indicator that a document has, or ever will have, historic significance. The historic value of a record is distinguished by the unique character, of an otherwise routine Local government record, that captures the details of the Local government's progress over the years.

Identifying historic records among the thousands of routine documents produced by the Local government can be a daunting task. Records that are considered routine today, can later take on historic relevance as the result of a special event or circumstance (e.g., a former Councilmember is elected to the Senate, or a local government judge is appointed to the Supreme Court). As a result, an event may not be recognized as having historic significance until after the event has long passed, along with the opportunity to preserve records documenting the event.

Good judgment, corporate knowledge and an understanding of the goals and direction of the Local government leaders can be the best tools for identifying historically significant documents. Listed below are some of the types of documents to look for when classifying historic records. A word of caution: Not all documents with these characteristics are historic records.

- Documents that influenced Local government leaders to make significant, unique, or controversial decisions (e.g., a letter from the Governor, or other high-ranking government official; a Councilmember's resignation letter; or a significant report.
- Documents that demonstrate how public policy was initiated, or why a special program was considered or implemented (e.g., documentation regarding the Preserve, Council District studies, letters and petitions from citizens concerning a divisive issue).
- Written policies or legislation expanding (e.g., lifting bans or restrictions) or limiting (e.g., stricter licensing requirements, seizing property, new types of zoning, etc.) citizens' rights.
- Local government documents leading to, or responding to, newsworthy events (e.g., a local, catastrophic event; ballot measure referendums or initiatives; important studies or findings).

Once a record has been identified as historic, it must be maintained as a permanent record requiring special protection and preservation on an archival medium.

Preserving Historic Documents

A.R.S. § 39-101 requires the Local government to follow specific procedures and standards outlined by the Arizona State Library, Archives and Public Records in maintaining and preserving historic documents and permanent public records of the Local government.

Permanent preservation methods must maintain records in perpetuity. The two acceptable materials which meet preservation standards are silver halide microfilm and permanent (archival) paper.

Microfilm is a high-resolution film that duplicates paper images into a reduced format and provides an efficient, space-saving solution to preserving documents not already on archival paper. The Local government has a local governmentwide contract with **[INSERT YOUR VENDOR HERE]** for microfilming services.

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Archival paper is acid-free, lignin-free, alkaline buffered, and contains 25% cotton or linen fiber for strength and durability. Recycled paper (even "acid free" recycled paper) does not meet the minimum requirements and should be avoided when preserving permanent documents.

Folders and boxes containing permanently preserved documents must also conform to archival permanent standards.

All historic records maintained electronically (digital photographs, tapes, etc.) must be converted to a format that meets permanent standards. Any deviation from this procedure must be authorized by the Local government Records Manager and reflected on a Retention Schedule.

If a division requires assistance with determining the historic value of records, converting historical records to a permanent medium, or preserving historic records, contact the Local government Records Manager.

Commented [JW84]: Can the folder/box requirements be explained?

Commented [JW85]: Link is broken and is directed to Scottsdale

APPENDIX F: RECORD INVENTORY WORKSHEET

RECORDS INVENTORY WORKSHEET

Arizona State Library, Archives and Public Records
RECORDS MANAGEMENT DIVISION
1919 West Jefferson Street, Phoenix, Arizona 85009
Phone: 602-542-3741 ● Fax: 602-542-3890 ● E-mail: rmd@lib.az.us

Agency Name/Political Subdivision			Organizational Unit	
Office/Sub-Organizational Unit				
Address			Phone Number	
Contact Name			Title	
Records Series Name/Title			☐ Official Copy	☐ Access/Use Copy
Records Medium	☐ Paper	☐ Microfilm	☐ Electronic/Computer	Format
	☐ Photograph		☐ Other	Describe
Description of Records				
Inclusive Dates in File	From:		Through:	
Record/File Cut-Off	☐ After Calendar Year	☐ After Fiscal Year	☐ After Event (case closed, project completion, etc.)	
Volume of Records (select one)	Cubic Feet	Lineal Inches	File Drawers	
Use Frequency of Records	Current Year: references per month		2 through 5 years: references/month	
	Past Year: references per month		Over 5 years: references/month	
Retention				
☐ Legal Requirement	years after	Citation		
☐ Office Recommendation	years after			
☐ Current Retention from Approved Schedule	years after			
Electronic/Computer Media				
Operating System:				
Application Program:				
Data Format:				
Comments				

RMC-9 R5/2004