

**TOWN OF PRESCOTT VALLEY**

**POLICIES AND PROCEDURES**

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Subject:		File Under Section:
<b>RECORDS MANAGEMENT PROGRAM</b>		<b>RECORDS</b>

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<b>Resolution 1407</b>	<b>5-01</b>	<b>1 of 18</b>

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Supersedes:	Approved By:	
<b>Resolution No. 1134</b>	<b>Larry Tarkowski,</b>	
<b>All Other Existing Directives</b>	<b>Town Manager</b>	
<b>Of a Similar Nature</b>		
	Date:	/s

**1.0 POLICY**

1.1 It is the policy of the Town of Prescott Valley to administer a records management program to promote the economic and efficient management of the Town’s public records.

**2.0 PURPOSE**

- 2.1 To implement a records management program in order to provide better access to information, reduce the costs of record keeping by implementing effective and efficient record keeping practices, and inform pertinent department personnel about their responsibilities as they pertain to the Records Management Program.
- 2.2 To ensure the retention and preservation of records with continuing value for historical or research purposes.
- 2.3 To facilitate the prompt and orderly disposition of records no longer possessing sufficient administrative, legal or fiscal value to warrant their further retention.

**3.0 APPLICABILITY**

3.1 The policies and procedures set forth herein apply to all records received, created or compiled by officials or employees of the Town (including members of the Town Council) in the daily conduct of Town business and to any and all officials or employees of the Town receiving, creating or compiling said records. No Town official or employee, by virtue of his or her position, has any personal or property rights in these Town records,

even though he or she has helped to develop or compile them. The records are the property of the State of Arizona per ARS41-151.15. It is unlawful to remove them from the files or to destroy them except in accordance with the Town of Prescott Valley Records Retention & Disposition Schedule approved from time to time by the Arizona State Library, Archives and Public Records. (ASLAPR).

## **4.0 REFERENCE**

### **4.1 Authority**

Arizona Revised Statutes (ARS) §41-151.14 provides that the head of each local agency shall establish and maintain an active and continuing program for the economical and efficient management of the public records of the agency.

ARS §41-151.15 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. Records shall not be destroyed or otherwise disposed of by any agency of the state, unless it is determined by ASLAPR that the record has no further administrative, legal, fiscal, research or historical value.

ARS §41-151.16. A. authorizes each agency of this state or any of its political subdivisions to implement a program for the production or reproduction by photography or other method of reproduction on film, microfiche, digital imaging or other electronic media of records in its custody, whether obsolete or current, and classify, catalogue and index such records for convenient reference.

ARS §41-151.19 provides that every public officer who has public records in the public officer's custody shall consult periodically with ASLAPR to determine whether the records in question are of legal, administrative, historical or other value. Those records determined to be of legal, administrative, historical or other value shall be preserved. Those records determined to be of no legal, administrative, historical or other value shall be disposed of by such method as ASLAPR may specify. A report of records destruction that includes a list of all records disposed of shall be filed at least annually with ASLAPR on a prescribed form.

ARS §38-421 provides that an officer having custody of any record filed or deposited in any public office or placed in his hands for any purpose, who steals, or knowingly and without lawful authority destroys, mutilates, defaces, alters, falsifies, removes or secretes the whole or any part thereof, or who permits any other person so to do, is guilty of a class 4 felony.

ARS §39-101 provides that permanent public records of the state, county, city or town, or other political subdivision of the state, shall be transcribed or kept on paper or other material which is of durable or permanent quality and which conforms to standards established by ASLAPR.

ARS §13-2407 provides that any person tampering (as defined therein) with a public record commits a class 6 felony.

Rules, Regulations, Standards and Procedures issued by ASLAPR.

Town of Prescott Valley Records Retention & Disposition Policy

Town of Prescott Valley Public Records Access Policy

Town of Prescott Valley Town Code

#### 4.2 Definitions.

ACTIVE RECORDS – Any data or information that is referred to frequently for various types of transactions. These records are maintained in the office files of each department.

CORRESPONDENCE – Any routine type of paper records generated in the conduct of daily work such as letters, telegrams, memoranda, reports and so forth.

DIRECTORY LISTING – All active/archival original documents that are assigned a numerical filing number and that are located in fireproof filing cabinets located in the Records Center.

DISPOSITION – The final phase of a document or record after it has fulfilled its usefulness.

E-MAIL – Electronic mail is communication transmitted by computer.

EPHEMERAL E-MAIL – E-mail that is used as transmittals, to facilitate routine matters (e.g. schedule meetings and conference calls, notify of particular legal or policy issues will be resolved in more formal communication, request , etc.), or to communicate matters of short-term importance.

FORMAL E-MAIL – E-mail that is transmitted or received pertaining to public matters of long-term importance which must be preserved as a record of official action or policy (e.g., discussions of policy, decisions, establishment of procedures, etc.).

FORMS MANAGEMENT – The function that establishes standards for the creation, design, analysis and revision of all forms within an organization and assures that they are designed, produced, utilized and distributed economically and efficiently.

HISTORICAL RECORDS – Records that are deemed to have historical value because they document the history of a town, city, county or state. Such records include, without limitation, 1) minutes of boards, commissions, and committees established by statute, resolution, proclamation or ordinance, 2) council minutes, 3) original or “official copies” of formal policy directives, and 4) original copy of organization documentation, including charts. Records may also be deemed to have historical value because they document 1) a controversial issue or 2) a program, project, event or issue that results in a significant change that affects the town, city, county or state or that involves prominent people, places or events, or that resulted in media attention locally, statewide or nationally. These records are permanent and should not be destroyed.

INACTIVE RECORDS – Any data or information that is referred to less than once a month. Most inactive records may be disposed of after a specified time period although some records have to be kept permanently for administrative, legal, historical or archival purposes.

MICROFILM – A fine-grain, fine-resolution, photographic film roll carrying multiple images greatly reduced in size and usually too small to be read by the naked eye.

LASERFICHE – DOCUMENT IMAGING – A software program that provides a method for indexing minutes, ordinances and resolutions as well as contracts, agreements, deeds, pending agenda items, referred items, etc.

NON-RECORDS – Items which are outside of the definition of Records which do not require retention, scheduling, authorization to destroy, or the reporting of destruction.

NUMERICAL FILING – A number assigned to active/archival original Town documents in order to locate them in the Records Center fireproof filing cabinets according to the Directory Listing.

OUT SHEET/GUIDE – A detailed form listing Town documents removed from the Records Center for review purposes.

PERMANENT RECORD – Records considered so valuable or unique in documenting the history of any agency that they are preserved “forever”.

RECORDS – 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 ARS §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.

RECORDS COORDINATOR – The individual responsible for the coordination, implementation and maintenance of the Records Management Program for the Town.

RECORDS CENTER – An area located in the Town Clerk’s office which houses the Town Records Management Program and is responsible for the preservation, retention and destruction of records.

RECORDS CENTER TRANSFER SHEET- The transfer sheet which lists record series, dates of records being transferred to the Records Center, and destruction dates. The sheet indicates the aisle, row, shelf and box location of the records in the Records Center.

RECORDS DESTRUCTION ROOM – An area located in the Mail/Copy Center to temporarily house inactive records for not to exceed two (2) months prior to destruction.

RECORDS MANAGEMENT – The creation and implementation of systematic controls for records and information activities from the point where they are created or received through final disposition or archival retention, including distribution, use, storage, retrieval, protection, and preservation.

RECORDS RETENTION AND DISPOSITION SCHEDULE - A records retention and disposition schedule is a timetable for the management of specific records series. It describes the life cycle of each series listed on it by indicating the retention period of the records and their final disposition (i.e. microfilm, archive or destruction).

DEPARTMENTAL RECORDS CLERK – A Town employee assigned by each department who is responsible for the coordination of records and forms management, needs and operations between that department and the Records Center.

RECORDS SERIES – Groups of identical or related records which are normally used and filed as a unit and which permit evaluation as a unit for retention scheduling purposes.

RETENTION – The cycle of a document from creation through its active and inactive life to destruction or permanent preservation.

RETENTION PERIOD – The period of time during which records must be kept before they may be disposed of, usually stated in terms of months or years but sometimes expressed as contingencies upon the occurrence of an event (e.g., employee termination, contract closure, etc.)

RETRIEVAL – The process of locating and withdrawing a document from a bank of records.

## **5.0 PROCEDURES**

### **5.1 Records Coordinator**

On February 22, 1990, the Town Council established the Records Management Program by Resolution No. 341 and appointed the Town Clerk as Records Coordinator. The Records Coordinator was thereby vested with the authority and responsibility for the creation and ongoing implementation of a Records Management Program.

The Records Coordinator shall:

- Establish and maintain an active, continuing program for the economical and efficient management of the public records of the Town.
- Serve as liaison to ASLAPR and ensure Town's compliance with the rules, regulations, standards, and procedures established by ASLAPR.
- Develop the necessary standards and procedures in the overall field of records management, including the filing and retrieval of active records, records inventory and appraisal, inactive files management and retrieval, and the management and control of essential records.
- Educate Town officials and employees in all areas of records management.
- Assist the departments in the establishment and updating of records retention and disposition schedules in conformity with legal, administrative and fiscal constraints.
- Establish a forms creation and control program.

The Records Coordinator or designee shall also:

- Establish and maintain records retention and disposition schedules.
- Coordinate the inventory of records with each department.
- Develop the records retention and disposition schedules for each department based upon the information obtained on the Records Inventory Worksheets.
- Receive from Department Record Clerks all boxes of eligible inactive records, verify the Records Center Transfer Sheet is correct, and type an inactive records label for each box transferred. Records assigned to the Records Center become the responsibility of the Records Coordinator.

- Keep an accurate record of all original active and archival records in the fireproof cabinets according to the Directory Listing and coordinate those with the records in the Laserfiche System.
- Dispose of the records located in the Records Center at the end of the retention period in accordance with the approved State's Records Retention and Disposition schedules.
- Assist in the retrieval and re-filing of records that are stored at the Records Center.
- Assist and monitor the Laserfiche program when other departments receive approval for document implementation by creating templates, reviewing scanned record series, and keeping track of record series that have surpassed their retention schedules for deletion from the system.

## 5.2 Department Records Clerk

Each Department Head shall designate a Department Records Clerk for each department. More than one (1) Department Records Clerk may be designated for a department if the department is large or complex in its organizational structure.

The Department Records Clerk shall:

- Coordinate all records management activities within the department.
- Inventory and aid in the appraisal of all department records.
- Work closely with the Records Management Technician in the administration of requests for new record series for department's retention and disposition schedules and document imaging implementation.
- Review on a regular basis the department's retention schedules to determine which records are eligible for transfer to the Records Center.
- Box all inactive department records, prepare the necessary Records Center Transfer Sheet, and make arrangements for transfer to the Records Center.

## 5.3 Inventory.

Each Department Records Clerk shall take an inventory of all of the records stored in the department, and shall complete the Records Inventory Worksheet (Exhibit A). The record series should be as descriptive as possible. Any special requirement of a particular record series should be noted on the Records Inventory Worksheet. The Department Records Clerk shall submit the completed Records Inventory Worksheet to the Records Management Technician for review.

After the initial inventory, supplemental inventories may be performed as needed.

## 5.4 Records Categories

### 5.4.1 Records

All documents and documentary material deemed to be records as defined in Section 4.2 herein.

#### 5.4.2 Non-Records

Non-Records include (without limitation):

- Extra copies of documents preserved only for convenience or reference;
- Reading, tickler, follow-up, or suspense copies of correspondence;
- Identical copies of documents maintained in the same file;
- Extra copies of printed or processed materials (official copies of which are retained by the department of record);
- Documents received from other departments that require no action (official copies of which are retained by the originating department);
- Superseded manuals and other directives (maintained outside the department of record);
- Materials documenting unofficial employee activities (blood drives, charitable funds, social and professional meetings, etc.);
- Routing slips and standard transmittal sheets;
- Work papers, drafts of reports, blank forms;
- Transcribed stenographic materials;
- Catalogs, trade journals and other publications or papers received from government agencies, commercial firms or private institutions that require no action and are not part of an action case record;
- Correspondence and other records of short-term importance that, after action has been completed, have no future use.
- Reproduction materials such as stencils, mimeograph masters, offset plates, etc.
- Physical exhibits, artifacts, and material objects lacking documentary value;
- Library or museum materials made or acquired solely for reference or exhibition purposes; and
- Stocks of publications or documents intended for sale or distribution to interested persons.

Non-records may attain the status of records in certain circumstances. Examples of this include transmittal slips that have acquired record status because they serve to significantly clarify the document or documents being transmitted; multiple copies that have attained the status of records because each is serving a separate and distinct program purpose; or published codes that have become records through their adoption by the Town of Prescott Valley. Each item must be carefully considered before being designated as a record or as a non-record. Where doubts exist concerning the designating of materials as records, individuals should consult with the Records Management Technician.

Non-records should generally not be interfiled with official records. To aid in the effort to control excessive accumulation of non-records, only current and necessary materials should be retained.

#### 5.4.3. Historical Records

Certain records that are created, compiled and maintained in the departments have long-term research and reference value. These records should be designated as permanent and should be placed into the Town Archives for preservation as soon as their active role is over according to ARS §39-101. All records within the departments should be appraised to determine if they have historical value. Working in close association with Town Clerk Staff, the Department Records Clerk is responsible to assess which records have historical significance and to determine when such records can be classified as inactive and thus be placed into the Town Archives.

#### 5.4.4 E-Mail or Information Transmitted or Received Via the Internet

All officials or employees of the Town who transmit and receive e-mail or other information transmitted or received via the Internet shall determine whether to preserve or delete those communications in accordance with the Town of Prescott Valley Electronic Communications Policy.

#### 5.4.5 Surveillance (Security) Storage Media

Surveillance (security) data shall be retained by the Police Department on appropriate storage media for thirty (30) days, subject to recycling and reuse of the storage media..

### 5.5 Forms Management

Forms management is the centralized and systematic control of forms, including design, utilization, revision and stocking of the forms. Poorly designed forms can generate inefficiency and additional costs.

To avoid the pitfalls associated with the utilization of poorly designed forms, each department shall work in close association with the Department Head and Town Clerk staff in developing an efficient and cost effective forms management program.

In developing and maintaining an efficient forms management program, the Department Record Clerk shall:

- Analyze the forms currently in use in the department in relation to their cost;
- Eliminate the use of forms that have ceased to serve a useful purpose;
- Redesign current forms and design new forms in a manner that will help achieve a maximum efficiency and usefulness;
- Consolidate forms with substantially the same informational content or similar uses;
- Eliminate extra copies of forms that are not routinely used or are needless; and
- Identify the most economical and efficient methods for the printing, storage and distribution of forms.

### 5.6 Laserfiche System- Document Imaging Implementation Program

The Records Management Technician will be responsible for indexing of minutes, ordinances, resolutions, contracts, agreements, deeds, pending agenda items, referred

items, and any other item concerning the actions of the Town Council. The Town Clerk shall utilize the Laserfiche system or any other program that may be procured by the Town for such indexing. The Town Clerk's approved record series will be given a numeric number on the Directory Listing, then scanned into the Laserfiche program with that number indexed on the Town Clerk's template for referencing the original hard copy documents. Each department will need to ask the Records Coordinator for assistance in any document imaging implementation requests. Final approval is necessary from ASLAPR prior to scanning any documents into Laserfiche per ARS §41-151.16. The Records Management Technician shall have access to all departments' files for monitoring purposes of the Laserfiche program according to the Town's approved Records Retention and Disposition schedules.

#### 5.7 Active Records Filing

The cooperation of each department is necessary to keep active filing systems closely related to the department's retention schedules. The Department Records Clerk shall work closely with Town Clerk staff in setting up an efficient active records filing system and shall constantly monitor changes made in filing systems.

#### 5.8 Preparing Records for Storage

The Department Records Clerk shall prepare all inactive records for transfer to the Records Center for appropriate disposition. In preparing the records for transfer, the Department Records Clerk shall establish that all such records are records as opposed to non-records and are being retained in accordance with the rules, regulations, standards and procedures approved by ASLAPR. .

The Department Records Clerk shall pack all inactive records to be transferred in one-cubic-foot storage boxes which have inside dimensions of 12" x 9¾" x 15". Records shall be packed in the storage boxes in the same order in which they were kept in the active records file, and all labels, serial numbers, file dividers and/or indexes shall be included with the records to maintain the integrity of the file.

**Each box shall contain only those records sharing the same destruction date.**

The Department Records Clerk shall complete the "Records Center Transfer Sheet" (Exhibit B) for each and every storage box being transferred to the Records Center. In filling out the Sheet, the record series title is described exactly as it is defined in the department's retention schedule. If more information is wanted on the label, it may be added to the sheet. The form is then saved to a word-processing file including all Records Transmittals. This sheet is subsequently updated after the Records Management Technician has given the department a copy stating the Records Center shelf number assigned to the box or its contents.

The Records Management Technician will add a typed inactive records label to each box. (Exhibit C)

#### 5.9 Transferring Records to the Records Center

The Department Records Clerk shall deliver all completed storage boxes to Town Clerk staff who will confirm that the "Records Center Transfer Sheet" is completed. The Records Management Technician shall then complete the bottom section of the form (Exhibit B) and assign a location number to each box. An Inactive Records Labels

(Exhibit C) shall be typed and attached to each box. Each box will be stored in the corresponding location until the expiration of the retention period, at which time it will be processed for destruction. The completed Records Center Transfer Sheet shall be placed inside the box and a copy sent to the originating department showing the location shelf number in the Records Center. The department will update the form it kept in its word-processing file for retrieval purposes. In no event shall boxes be delivered to the Records Center without being checked in by Town Clerk staff.

Only the Magistrate Court and Police Department shall store inactive records at the Department until the Retention Period has passed. The Police Records Supervisor will arrange transfer of the records to the Records Center at the discretion of the Records Management Technician when they are ready for destruction. The Police Records Supervisor will complete the ASLAPR Report/Certificate of Records Destruction form (Exhibit F) and transfer all inactive boxes with the Report/Certificate. Once approved through the Town Council, the records will be slated for destruction.

#### 5.10 Retrieving Records from the Records Center

In the event it becomes necessary to retrieve records from boxes stored at the Records Center, the Department Records Clerk, or designee, shall bring in the copy of the Records Center Transfer sheet to find each box to be retrieved. If the Transfer Sheet is not available, the Records Management Technician will attempt to retrieve the box within twenty-four (24) hours. Once the box is found, the Records Management Technician will contact the Department Records Clerk or designee to complete an "Outsheet" (Exhibit E). This Outsheet shall be given to Town Clerk staff along with the original Records Center Transfer Sheet found inside the box. These two forms will then be stapled together and retained by staff until the records and/or box are returned to the Records Center. If the records are not back within a responsible time the Records Management Technician shall call the department to notify them that the records must be returned to the Records Center.

Town employees who take any documents out of the numerical filing system (fireproof cabinets) and/or bid files will need to replace the original document with a completed "Out guide" with their name, type of document and date taken. When the original is returned to the Records Center, the Records Management Technician will file the original back in the filing drawers. It is recommended that only the Records Management Technician refile such documents to avoid mis-filing.

All commercial plans will be stored in rows by year and assigned a number from the originating department (e.g. permit #). Once these plans have been entered in the Town Clerk's filing system, they are assigned into the Records Center and they will be kept until their retention period expires in accordance with the Town's Records Retention and Disposition schedule. In the event it becomes necessary to retrieve such plans from the Records Center, the Department Records Clerk, or designee, shall complete an item line on the "Out Card" provided by the Records Management Technician. Each item line contains the name of the employee who took the plan, Plan # or Permit # of commercial plan, the date it was taken out of the Records Center, and the date returned to the Records Center. It is up to the employee to mark through each line item once returned.

Records stored at the Records Center remain assigned to the originating department. Only personnel from the originating department may access these records. All other departments must have written permission from the department head to access documents unrelated to their specific department.

## 5.11 Restricted Access to Records

Any originating department may request restricted access status for confidential records (as authorized and approved in the Town's Records Retention and Disposition Schedule) stored at the Records Center. A request for restricted access must be made in writing to the Town Clerk and must include the names of the individuals who are allowed access to the restricted records. Once approved, a "Restricted Access Seal" (Exhibit D) will be typed by the Records Management Technician and then placed over the box. The box will be assigned a location number and stored in the corresponding location until the expiration of the retention period. Only those individuals possessing express authorization from the originating department head may be permitted access to restricted records. Restricted access to electronic records will be monitored by the Laserfiche Records Management System.

## 5.12 Destruction of Records

Records stored at the Records Center will be pulled for destruction at the expiration of their scheduled retention period and a memorandum will be sent to the originating department providing notification of the impending destruction. The records will be held for fifteen (15) working days unless the department provides other reasons such as litigation, audits, or court orders.

These inactive boxes will be placed in the locked Records Destruction room of the Mail/Copy Center for a period not to exceed two (2) months prior to destruction. This is temporary storage to give space in the Records Center for incoming boxes until approved for final destruction. All records on Laserfiche whose retention periods have expired will be noted on the ASLAPR Report/Certificate of Records Destruction form in bytes.

The records will then go through the Town Council to be approved for destruction. Once approved, the destruction of records will be reported using an original bond Report/Certificate of Records Destruction form (Exhibit F) mailed to ASLAPR. A copy will be filed in the Town Clerk's office for 2 years. The Records Management Technician shall notify each Department that has a Records Center Transfer Sheet from the expired boxes for destruction and ask that department to destroy its copy once the box has been destroyed and is no longer available in the Records Center for retrieval. Those record series that are scanned into Laserfiche that have expired will be removed by sending the IT Manager a helpdesk request.

### In-House Record Destruction

The documents from the inactive boxes will be screened for confidential material such as social security numbers, bank account numbers, etc. All loose paper clips, binder clips, rubber bands must be removed prior to shredding. It is recommended that a face mask be worn at all times when shredding to reduce inhaling any paper particles in the air along with rubber gloves to reduce paper cuts when picking up papers from a box. All boxes from Human Resources, Legal, Police Department and Elections must be shredded. Those boxes that are not determined to be confidential can be placed in 1.5 mil black trash bags, one box per trash bag.

### Outsourced Record Destruction

The Records Coordinator or her designee shall be present to oversee and confirm the destruction of those records and receive an Affidavit of Destruction from the vendor.