

TOWN OF PRESCOTT VALLEY

POLICIES AND PROCEDURES

Subject: RECORDS RETENTION & DISPOSITION	File under Section: RECORDS
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Effective Date: September 22, 2011 Resolution No. 1763	Number: 5-03	Page: 1 of 135
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Supersedes: Resolution No. 1134 & 1407 All Other Existing Directives Of a Similar Nature	Approved By: Larry Tarkowski, Town Manager
	Date:

1.0 POLICY

- 1.1 It is the policy of the Town of Prescott Valley to facilitate the prompt and orderly disposition of records no longer possessing sufficient administrative, legal or fiscal value to warrant their further retention and to ensure the retention and preservation of records with continuing value for historical or research purposes.
- 1.1 This policy includes Records Retention and Disposition Schedules which have been approved by the Director of the Arizona State Library, Archives and Public Records and then approved by the Prescott Valley Town Council. These schedules are generally in compliance with the Town Code, Arizona Statutes and other Federal State and local rules and regulations relating to public records. Also included in this policy are the procedures for changing or adding to these schedules.
- 1.2 It is a requirement of State Law in Arizona (A.R.S. §41-151.14) that each state and local agency establish and maintain a records management program, create and submit any custom records retention schedules for approval, and appoint records managers/coordinators as appropriate. The State-approved Town of Prescott Valley Records Retention & Disposition Policy applies systematic controls and cost reduction principles to Prescott Valley's records system through the use of the procedures outlined in this policy and through the application of the authorized retention and disposition schedules. These schedules control the utilization, maintenance and storage of all phases of the life cycle of all records created and accumulated by the Town of Prescott Valley. Compliance with the procedures and with the schedules is required by law.

2.0 PURPOSE

- 2.1 The purpose of this policy is to provide guidance to Town staff relating to records disposition and retention responsibilities under the Prescott Valley Town Code; Arizona Revised Statutes and other Federal, State and local rules, regulations and guidelines.

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 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 Town of Prescott Valley and/or the State of Arizona. It is unlawful to remove them from the files or to destroy them except in accordance with the State-approved Town Records Retention & Disposition schedules.
- 3.2 Town departments should implement their records control and disposal programs in accordance with the guidelines set forth in this policy. Each office/department head or appointed designee is responsible for maintaining an up-to-date copy of this policy and ensuring that the policies and directives set forth are closely followed.
- 3.3 The cooperation of each department is necessary to keep their active filing systems closely related to the department's retention schedules.

4.0 REFERENCE

4.1 Authority

Arizona State Library, Archives and Public Records
Standards for Permanent Records Media and Storage
Town of Prescott Valley Town Code
Town of Prescott Valley Records Management Program Policy
Town of Prescott Valley Public Records Access Policy
Arizona Revised Statutes §41-151
Arizona Revised Statutes §39-101

4.2 Definitions

DISPOSITION – The action taken at the end of the retention period.

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.

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

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, digitize, archive or destruction.

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.)

5.0 PROCEDURE

5.1 RECORDS DISPOSITION

Final disposition of records is prescribed by the Arizona State Library, Archives and Public Records (ASLAPR). These schedules indicate both the date and the method of disposition for a Record Series. Disposition can be any of the following:

1. Destruction by shredding, pulping or other approved permanent method
2. Archival Retention
3. Micrographic Reproduction with destruction of originals
4. Micrographic Reproduction with Archival Retention of Originals
5. Electronic/digital Reproduction with destruction of originals
6. Electronic/digital Reproduction with Archival Retention of Originals.

5.2 RECORDS DESTRUCTION

Records retained in the originating department for the duration of the retention period are sent to the Town Records Center for destruction at the end of the retention period.

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 15 working days after notice to the originating department unless information is provided to support a change in the retention period of a particular document or record series. The originating department is responsible for notifying the Records Manager/Coordinator if a record should not be destroyed as scheduled or if the records scheduled for destruction fall under the Federal Privacy of Information Act and require destruction by shredding or other approved permanent method of destruction.

Scheduled destruction of records will be delayed for reasons such as court orders, litigation, audits, or changes in the prescribed retention period.

As prescribed by law, destruction of records must be reported to the Arizona State Library, Archives and Public Records. Such destruction shall be reported on State approved Certificates of Destruction and must be approved and signed by the Town Clerk/Deputy Town Clerk.

5.3 RECORDS ON APPROVED SCHEDULE

Only official records are put on the schedule. Non-records are not usually scheduled. Please refer to the Records Management Program Policy for a discussion of records and non-records.

Records should be retained in the originating department only until they are no longer in active use. In most cases, records must be referred to more than six times a year to be considered active records. When records are referred to so seldom as to make their continued retention by the originating department impractical, they are considered to have become inactive and should be transferred to the Records Center for appropriate disposition.

Usually records which are retained for three years or less should be held in the originating department until no longer active and then transferred to the Records Center for appropriate disposition.

Records which have been determined to be of archival value should be transferred to the Records Staff as soon as administratively advisable per ARS §39-101.

Records which must be retained longer than ten years and which have no archival value should be microfilmed and the hard copies destroyed. Approval from the ASLAPR director per ARS §41-151.16 must be obtained first.

5.4 AMENDMENTS TO RETENTION AND DISPOSITION SCHEDULE

Requests for custom amendments to the retention and disposition schedules must be submitted in writing to the Records Manager/Coordinator and are subject to approval by the Director of ASLAPR.

5.5 PRESCOTT VALLEY RETENTION & DISPOSITION SCHEDULES

ALL – AGENCY FINANCIAL
ATTORNEY
COMMUNITY DEVELOPMENT – BUILDING/PLANNING/ZONING
COMMUNITY DEVELOPMENT- ECONOMY
FINANCE – MANAGEMENT SERVICES
MANAGEMENT
PARKS & RECREATION
POLICE
STREETS (TRANSPORTATION) – PUBLIC WORKS
TOWN CLERK
TOWN COUNCIL
UTILITIES – MANAGEMENT SERVICES
WATER & SEWER – PUBLIC WORKS

4-302 JUDICIAL ADMINISTRATION
ADMINISTRATION RECORDS 000-10-66
LAW ENFORCEMENT RECORDS 000-10-219
LIBRARY RECORDS 000-09-103
MANAGEMENT RECORDS 000-10-67
SALES TAX & LICENSING RECORDS 000-11-52
INTERNAL AUDIT 000-11-15
ELECTION RECORDS 000-11-38
FACILITIES & GROUNDS MAINTENANCE 000-11-8
INFORMATION & TECHNOLOGY 000-11-37
PERSONNEL & HUMAN RESOURCES 000-11-4
PURCHASING & PROCUREMENT 000-11-54
WAREHOUSE & SUPPLY RECORDS 000-11-7

EQUIPMENT & VEHICLE SERVICES 000-11-28
EMAIL COMMUNICATIONS AND SOCIAL NETWORKING RECORDS
000-10-70
STATE HOUSING RETENTION & DISPOSITION SCHEDULE DATED 10-
10-01