



ADMINISTRATIVE DIRECTIVE

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I. PURPOSE

To establish policies and departmental responsibilities for the City's Records Management Program which promotes the effective storage and destruction of the inactive records of City departments and offices.

II. POLICY

- A. The Office of the City Clerk shall maintain a records management program as required by Arizona Revised Statute § 41-151.14. City Departments and Offices shall use the General Retention Schedules for All Public Bodies established by the Arizona Library, Archives and Public Records for the management of City records and documents.
- B. The City Clerk is the custodian of records stored in the Records Center, and will ensure that only authorized personnel have access to these records. Inactive records in storage at the Records Center shall remain the property of the respective office or department.
- C. No City official or employee has, by virtue of their position, any personal or property right to City records even though they may have helped develop or compile them. Such records are the property of the City of Tucson and ultimately the State of Arizona. The unlawful destruction, removal from files, or use of City records is prohibited. (See Administrative Directive 2.02-5, "Rules of Conduct", Section III, "City Ownership of Employee Work Products.")

III. DEFINITIONS

- A. **Public 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, made or received by the City in pursuance of law or in connection with the transaction of City business and preserved or appropriate for preservation by the City.
- B. **Retention Period** – The period of time a record can be stored in a City department or the City Records Center before its transfer, micrographic conversion, archive, or destruction, as specified in the approved Records Disposition Schedules for the City of Tucson departments and offices.
- C. **Inactive Records** – Records which are so seldom referred to as to make their retention in the originating department impractical and uneconomical. In most cases, records that are referred to less than six times a year are considered to be inactive records.
- D. **Permanent Records** – Recorded information which is required by law to be retained indefinitely, or which has been designated for continuous preservation because of its legal, administrative, or historical significance to the City. Such records are transferred to the custody of the City Records Center as soon as they are deemed to be inactive.



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- E. **Non-Records** – Copies of a record other than the record copy, furnished through courtesy or kept for reference or convenience. Non-record materials may be disposed of immediately after they have served their purpose. They should not be filed or maintained unless there is sound justification for their use and retention.
- F. **Records Control Official** – City employee(s) designated by a Department Director to be responsible for coordinating records management activities between their department and the City Records Center.
- G. **Essential Records** – also called Vital Records, are those records necessary for the continuity and/or resumption of operations of an organization during and following a disaster.

IV. **GENERAL**

- A. **Records Retention Periods** – To efficiently and effectively manage City of Tucson's records and provide proper public accounting of all official business, the following policies will apply:
 - 1. Records with a retention period of three (3) years or less shall be maintained by, and stored in the respective City departments and offices for the life of the records.
 - 2. Records with a retention period in excess of three (3) years, but less than fifteen (15) years, which have no archival value and which have low retrieval requirement, are to be stored in the City Records Center for cost effectiveness unless prior approval is obtained from the City Clerk.
 - 3. Records which must be retained longer than fifteen (15) years, and which have no archival value are to be microfilmed and the official record copy destroyed. Where it is economically impractical to microfilm, the official record copy will be preserved.
 - 4. Records which have archival value are to be stored in the City of Tucson Archives, where they will remain in the permanent custody of the City Clerk.
- B. **Record Liaison Officers** – Departmental Directors shall appoint one or more Record Liaison Officers to coordinate records management activities between City departments and the City Records Center. Directors shall notify the City Clerk of these appointments. It is the responsibility of each department to notify the City Clerk of any changes.



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V. CITY RECORDS MANAGER AND CITY RECORDS CENTER

- A. **The role of the City Records Manager** – The City Records Manager maintains the City's records management program, including all operations of the City Records Center. The Records Manager answers questions and assists departmental staff on aspects of their department's records and records series, storage and retrieval of records, and the destruction of records.
- B. The City Records Manager coordinates with Records Liaison Officers to maintain their specific records series in accordance with the requirements of the Arizona State Library, Archives, and Public Records (ASLAPR), and assists departments with the following:
1. Disseminates information to departmental staff about records management procedures at the City Records Center;
 2. Reviews the department's record keeping practices for compliance and can identify practices that require improvement;
 3. Reports non-compliance to the department;
 4. Ensures inactive records are properly prepared for transfer to the City Records Center;
 5. Reviews authorization to dispose of inactive records that have reached their destruction date according to the approved records retention schedules;
 6. Assists departments with digital imaging or scanning requests; (see Reference A)
 7. Assists departments with determination of permanent records; (see Reference B)
 8. Provides information to departmental records liaisons relating to ASLAPR webinars and training sessions.
- C. **City Records Center** - is located at 4300 S. Park Avenue, and stores both inactive records and permanent records. This facility is not open to the public and is under the control of the City Clerk's Office. Departments wanting to store inactive or permanent records at this site must coordinate through the City Records Manager.



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VI. ESSENTIAL RECORDS LISTING

Pursuant to A.R.S. §41-151.14 (A)(5), every local agency is required to submit lists of all essential records in the custody of the agency, to the State Library every five (5) years. Identifying essential records and their locations allows for the following:

- A. Respond to a disaster affecting records;
- B. Minimize disruption of operations after an emergency;
- C. Rapidly restore government services; and
- D. Reduce the economic impact of a disaster.

The City Records Manager will help departments to determine their essential records lists, and will submit a city-wide listing of all essential records to ASLAPR by December 31st of the year it is due.

VII. ELECTRONIC RECORDS

Are those records that reside in electronic computer systems or other electronic media. The City currently uses Sire Technologies to manage electronic documents (with a few exceptions, i.e. City Attorney and City Courts). The Electronic Documents Management System (EDMS) is available to any department upon request to the City Records Manager. (Also see A.D. 1.05-3.)

VIII. NON RECORDS

Generally, only one copy of a document is designated as a record. All other copies of that document fall into the category of non-record. Non-records should never be mixed with records in the same file. Non-records can include the following:

- A. Reading file copies of correspondence,
- B. Tickler, follow-up, or suspense copies of correspondence,
- C. Identical duplicate copies of all documents maintained in the same file,
- D. Extra copies of printed or processed materials,
- E. Superseded copies of published manuals and directives,
- F. Catalogs, trade journals, magazines, etc.,



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- G. Information copies of correspondence, and
- H. Physical exhibits, artifacts, and material objects lacking documentary values.

To aid in the effort to control excessive accumulations of non-records, only current and necessary materials should be retained, and should be destroyed as soon as their administrative value has been met.

IX. DISPOSITION OF RECORDS

Once a record is no longer needed for an administrative, legal or fiscal reason, that record has reached the end of its useful life and it can be destroyed.

- A. Pursuant to ARS §41-151.12, retention periods are the minimum amount of time records may be kept. Keeping records for a time period shorter than their approved retention period is illegal. Records required for ongoing or foreseeable official proceedings such as audits, lawsuits or investigations, must be retained until released from such official proceedings, notwithstanding the instructions of the schedule. If it is believed that special circumstances warrant that records should be kept for a shorter time than listed in the retention schedules, then please contact the City Records Manager to inquire about a change to the retention period. Only the Arizona State Library, Archives and Public Records has the authority to set records retention periods. Public records, including electronic records, not listed in the retention schedules are not authorized to be destroyed.
- B. The City Records Manager will provide a Memorandum of Destruction to each department once the documents have met their retention period. It is important to review those lists of boxes, as all of the documents within that destruction will be disposed of by the date indicated in the memorandum.



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Appendices

None

References

Item A – Minimum Standards for Digital Imaging or Scanning of Textual Documents (can be located at: <https://www.azlibrary.gov/sites/azlibrary.gov/files/arm-minimum-standards-for-digital-imaging-or-scanning-textual-documents-2014-06-18.pdf>)

Item B – Standards for Permanent Records (can be located at: https://www.azlibrary.gov/sites/azlibrary.gov/files/arm-standard-for-permanent-records_april_23_2013_signed.pdf)

Item C – A.D. 1.05-3 Access, Production and Retention of City Records

Review Responsibility and Frequency

The City Clerk shall review this Administrative Directive annually or as needed. Last review date: February 1, 2016.

Authorized



City Manager



Date