



## ADMINISTRATIVE DIRECTIVE

ACCESS, PRODUCTION AND RETENTION OF CITY RECORDS	NUMBER	PAGE
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### I. PURPOSE

This directive prescribes the rules regarding access, production, and retention of City records.

### II. POLICY

A. All records and other matters in City offices are presumed to be open for public inspection and shall be open to inspection at all times during office hours with the following exceptions:

1. Arizona law or court order prohibits disclosure.
2. Individual privacy rights prohibit disclosure, including, but not limited to the portions of a record containing home address and phone, birth date, tax identification number, employee identification number, social security number, account numbers or other personal identifying information as defined in A.R.S., §13-2001.
3. Best interest of the City is served by non-disclosure such as during an investigation when disclosure would harm the investigation.

B. Information provided in response to a public records request will be in the format in which it is kept. As a general rule, the City will not create a record, obtain new data, perform research, or create new report formats in order to respond to records requests.

C. Each City department and office is responsible for maintaining information in accordance with state law and City Administrative Directives.

D. The management of the enterprise-wide Electronic Document Management System is under the authority of the City Clerk. **No department shall proceed with the implementation of an Electronic Document Management System without prior approval from the City Clerk's Office.**

### III. DEFINITIONS

A. **Access** - Permission, liberty, or ability to examine, obtain information from, or add to personnel files as defined in this directive.

B. **Custodian of Records** 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. **Electronic Document Management System (EDMS)** – A software program that manages the creation, storage, control and life-cycle of documents electronically.



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- D. **Legal Hold** – An administrative action taken by the custodian of records to prevent destruction of all records related to pending and anticipated litigation.
- E. **Maintain** - Collect, file, update, use, or disseminate.
- F. **Other Matters** – Written records kept by an office in the course of official business whether or not the records are required by law or are otherwise considered to be public records.
- G. **Personal Identifying Information** – Any written document or electronic data that does or purports to provide personal information as defined in A.R.S., § 13-2001.
- H. **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.
- I. **Public Records Request** - A request to examine or be furnished copies, printouts, or photographs of a public record under A.R.S. § 39-121 or 39-121.02.

#### IV. **DESIGNATED CUSTODIANS OF RECORDS**

- A. The Director of Human Resources is the custodian of personnel and pension records. All employment records shall be maintained in accordance with Administrative Directive 2.02-20, Employment Records.
- B. The Director of Finance is the custodian of all finance, insurance, risk management, and payroll records.
- C. The Chief of Police is the custodian of Police Department records.
- D. The Director of Development Services is the custodian of all City building permits and corresponding records.
- E. The Director of Transportation is the custodian of records pertaining to City streets and traffic.
- F. The Director of Tucson Water is the custodian of records pertaining to Tucson water distribution, plant and well maintenance, planning and engineering, and water quality management.
- G. The Court Administrator is the custodian of records pertaining to City Court.
- H. The Fire Chief is the custodian of Fire Department records.



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- I. The City Clerk is the custodian of records in all other cases where the City Manager has not designated a records custodian. 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.
- J. The Director of Procurement is the custodian of records pertaining to the procurement process, including solicitations, contracts, protests, contract disputes, vendor records and other documentation related to the procurement process.

### V. **ELECTRONIC RECORDS**

- A. Electronic access to City databases will not be granted.
- B. Copies of databases may be released on a case by case basis after consultation with the City Attorney and department director approval.
- C. As a general rule, departments can retrieve and reproduce their own electronic records including email correspondence. The Information Technology (IT) department will assist with the retrieval and reproduction of electronic records when requested by the City Attorney's Office, City Clerk's Office, the City Manager's Office or a department director.

### VI. **ELECTRONIC DOCUMENT MANAGEMENT OF PUBLIC RECORDS**

- A. The City is required by law to make virtually all records available to the public (A.R.S., § 39-121) while safeguarding confidential and personal identifying information. An Electronic Document Management System (EDMS) facilitates rapid retrieval of records for both city staff and citizens.
- B. The City of Tucson has selected SIRE Technologies as the official enterprise-wide electronic document management system (EDMS) for public records. SIRE Technologies meets the minimum electronic document management standards set forth by the Arizona State Library, Archives and Public Records Agency. SIRE Technologies has the ability to:
  - 1. Receive, capture, and create records;
  - 2. Provide secure selective access and redaction to records and ancillary information based on user rights;
  - 3. Ensure records are protected from unauthorized alteration or loss;
  - 4. Maintain and preserve records over time; and



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5. Dispose of records, either by deletion or transfer to a durable medium for permanent retention by the State of Arizona Archives.
- C. As of June 1, 2012 no other EDMS will be authorized for the creation, maintenance, or storage of public records.
- D. The City Clerk has the sole authority to authorize the use of SIRE Technologies for use by City departments.

### **VII. SIRE EDMS AUTHORIZATION**

- A. Departments must complete an EDMS Authorization Request (Attachment A) to implement SIRE for the storage, access, and eventual disposal of public records.
- B. The department must identify key staff as EDMS liaisons. EDMS liaisons must have sufficient records access, production, and retention knowledge of the department records in order to work with the City Records Manager to create a document management filing structure and associated metadata (SIRE cabinets). File structures and associated metadata will be based on enterprise-wide standards.

### **VIII. EDMS LIAISONS**

- A. The role of the EDMS liaison is to ensure:
  1. All records created or maintained within the system belong to a specific records series in accordance with the Records Retention and Disposition Schedule for Arizona Municipalities or a state-approved records retention and disposition schedule;
  2. All records created or maintained must include sufficient content, context, and structure to meet business and legal needs according to specific criteria developed by the City Clerk's office;
  3. All file structure and associated metadata (SIRE cabinets) is thoroughly examined, reviewed, and tested in the SIRE test environment prior to production;
  4. A means for public access to indexed and categorized records is provided on departmental web pages; and
  5. Requests for changes to file structure and metadata (SIRE cabinets) are submitted to the City Clerk's Office for implementation prior to production.
- B. Training for department EDMS liaisons will be provided by the City Clerk's Office.



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**IX. PUBLIC RECORDS REQUEST PROCEDURE**

- A.** Requests for City records shall be submitted to the appropriate Custodian of Records who will work with the City Attorney, and, if appropriate, the IT department to respond to the request in accordance with state law.
- B.** Requests for City records, including subpoenas and public records requests submitted to the City Clerk's Office shall be referred to the appropriate department or office and to the City Attorney who will assist the City Clerk and departments in responding to the request in accordance with state law.
- C.** The custodian of records may require that the public record request be in writing.
- D.** The custodian of records may charge a reasonable fee for copies of public records; except that there can be no charge for research to locate requested documents, or for copies produced in support of a claim against the United States government, or for police reports provided to crime victims and their families (A.R.S., §§ 39-122 and 39-127).
- E.** Civil subpoenas for records will be handled as follows:
  - 1.** Agendas, agenda backup information, minutes, and ordinances may be released without legal inquiry.
  - 2.** Subpoenas for other materials should be reviewed by the City Attorney for determination of whether to seek a protective order restricting dissemination to only such materials as are necessary and proper.
  - 3.** Comply with the subpoena as required by law.

**X. DEPARTMENTAL RESPONSIBILITY**

- A.** Each department director is responsible for all records created and maintained by the department and for establishing a records procedure consistent with this directive. Departmental procedures must include at a minimum:
  - 1.** An inventory of records maintained by the department;
  - 2.** A list of persons that are allowed access to the records;
  - 3.** The types of records produced; and
  - 4.** A state approved records retention and disposition schedule.



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- B. Each designated custodian of records shall file Departmental Records Management Procedures with the City Clerk’s Office biennially.

**XI. RETENTION OF RECORDS**

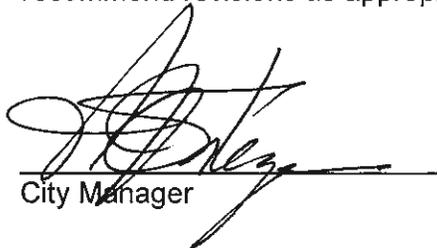
- A. All City files shall be retained in accordance with the Records Retention and Disposition Schedule for Arizona Municipalities or a state-approved records retention and disposition schedule. <http://www.azlibrary.gov/records/municipality.aspx>
- B. The custodian of records will post notifications of legal holds and the relevant records retention and disposition schedule on the Intranet. <http://intranet.ci.tucson.az.us/online-forms-tools-city-logos>
  - 1. The legal hold notification will describe the basis for the pending or anticipated litigation, the contact person who will answer questions about the legal hold, and the estimated duration of the hold.
  - 2. The custodian of records will post the cancellation/expiration of the legal hold and the relevant records retention and disposition schedule on the Intranet.

**Appendices** Attachment 1 – EDMS Authorization Request

**References** AD 1.05-1 Records Management Policy  
AD 2.02-20 Employment Records  
Legal Hold Notices.  
<http://intranet.ci.tucson.az.us/online-forms-tools-city-logos>  
Records Retention and Disposition Schedule for Arizona Municipalities.  
<http://www.lib.az.us/records/municipality.aspx>

**Review Responsibility and Frequency** The City Clerk and City Manager shall review this directive and recommend revisions as appropriate. Last review date: April 15, 2016.

**Authorized**

  
\_\_\_\_\_  
City Manager

  
\_\_\_\_\_  
Date



# EDMS AUTHORIZATION REQUEST

## City Clerk's Office

The \_\_\_\_\_ [Department Name/Division] requests authorization from the City Clerk, in accordance with Administrative Directive 1.05-3, to image records described on the attached State Approved Records Retention Schedule. The department agrees to comply with all conditions and standards set forth by the City Clerk and the Arizona State Library, Archives and Public Records agency regarding the management of electronic records.

The department further agrees to assign one or more Electronic Document Management System (EDMS) Liaisons for the purpose of collaborating with the City Records Manager to create document management filing structures and associated metadata. EDMS liaisons must have sufficient records access, production, and retention knowledge of all departmental records.

**Prior to Authorization, complete the following:**

- Attach a State Approved Records Retention Schedule(s) indicating which departmental records are being recommended for document imaging: (<http://www.lib.az.us/records/municipality.aspx>)
- Assign Electronic Document Management System (EDMS) Liaison(s):

EDMS LIAISON NAME(S)	PHONE NUMBER

- Obtain signature of Department Director:

\_\_\_\_\_  
**Director's Signature** **DATE**

*Please send this completed EDMS Authorization Request and required attachments to Yolanda Lozano, City Records Manager, City Clerk's Office.*

**Reviewed and Approved:**

\_\_\_\_\_  
**Yolanda Lozano** **DATE**  
**City Records Manager**

**AUTHORIZATION**

In accordance with Administrative Directive 1.05-3, the City Clerk authorizes the use of the SIRE Electronic Document Management System (EDMS) for the records described on the attached State Approved Records Retention Schedule(s).

\_\_\_\_\_  
**Roger W. Randolph** **DATE**  
**City Clerk**