



TOWN OF CAMP VERDE

Records Management Policy

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Town of Camp Verde

Records Management Policy

All records received or generated by officials, employees, or representatives of the Town of Camp Verde in the performance of their duties shall be maintained in accordance with the provisions set forth in this policy.

INTRODUCTION

State law (A.R.S. § 41-1346) requires every municipality 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 and Disposition Schedules are maintained and adhered to, and that all reporting requirements are met. Town Code, Section 3-2-2.B Establishes that the Town Clerk keeps a true and correct record of all business transacted.

The Town Records Manager, under authority of the Town Clerk, is responsible for the day-to-day oversight of the Town of Camp Verde's Records Management Program to ensure compliance with State law. Through an ongoing Records Management Program, the Town Records Manager provides assistance and support to departments and offices of the Town of Camp Verde to ensure that schedules are followed and destructions are properly documented and reported. The Town Records Manager advises the Records Management Coordinators in each department or office on conducting records inventories and preparing Records Retention and Disposition Schedules. The Town Records Manager also serves as the liaison to the Arizona State Library, Archives and Public Records (State Library).

This manual was prepared by the Town Clerk's Office to provide written procedures for complying with State law and the Town's records management policies and procedures.

The manual includes:

- **Quick Start Guide – Three Basic Steps of Records Management**
- Overview of the Town of Camp Verde Records Management Program
- *Operating Procedures and Guidelines for Complying with State Law and Town Policies for Managing Public Records:*
 - Section 1: Records Retention and Disposition Schedule
 - Section 2: Records Retention and Storage
 - Section 3: Records Destruction
 - Section 4: Electronic Records,
 - Section 5: Electronic Messages (E-Mail and Voice Mail)
 - Section 6: Social Networking Utilities
 - Section 7: Records Requests

- *Frequently Asked Questions*

 - *Supplemental Information, including:*
 - *Links to Online Records Management Forms (Appendix A)*
 - *Instructions for Transferring Records to Storage (Appendix B)*
 - *Document Standards (Appendix C)*
 - *Essential Records Protection and Recovery Plan (Appendix D)*
 - *Historic Records Preservation (Appendix E)*
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Quick Start Guide: Three Basic Steps of Records Management

Step 1: Prepare and Maintain a Current Retention and Disposition Schedule

Every department of the Town is required to have a current, State-approved Records Retention and Disposition Schedule (Retention Schedule or schedule) on file with the Town Clerk's Office. A State-approved schedule lists the types of records, or record series, maintained by each department; indicates how long documents are to be kept; and authorizes the destruction of non-permanent records once retention periods have been met. The Town of Camp Verde adheres strictly to the State Retention Schedule

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

Step 2: Retain Records According to an Approved Retention Schedule

Every department is legally required to comply with the Retention Schedule; therefore, schedules are to be followed carefully, consistently, and in a timely manner.

Section 2 of this policy 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 the 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 Town Records Manager for assistance.

After a document has been destroyed in accordance with the approved Retention Schedule, the department's Records Management Coordinator must document the destruction on a Report/Certificate of Destruction Form and file the original with the Town Records Manager. The Town Records Manager retains a copy for the official files and forwards the original report 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, provides answers to many records management "Frequently Asked Questions."

Every department must designate a Records Management Coordinator who is responsible for enforcing the department's Retention Schedule and for ensuring that records are maintained according to that schedule.

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



OVERVIEW

Purpose

The Town of Camp Verde Records Management Program was established to provide a comprehensive and cost effective method for maintaining, preserving, and disposing of Town records in compliance with State law.

Authority

Camp Verde Town Code Section 3-2-2.B.1

Town-wide Records Management Program – Document Standards

The Documents Standards, issued by the Town Clerk and Town Records Manager and approved by the Town Manager, provide general guidelines for the classification, construction, and control of official Town documents to ensure completeness and authenticity.

Arizona Supreme Court Administrative Order No. 2007-34

Administrative Order Nos. 2007-34 and 2008-88 adopt the Retention and Disposition 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:
<http://www.azleg.state.az.us/ArizonaRevisedStatutes.asp>

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

A.R.S. § 38-421 declares the destruction of public records by a public officer without authorization 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. § 41-1346 – Public Records Management

A.R.S. § 41-1346 directs each governing body within the State to establish a records management program, provides a definition for “records management,” and sets forth the classification and penalty for violating the statute.

A.R.S. § 41-1347 – Preservation of Public Records

A.R.S. § 41-1347 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.

A.R.S. § 41-1350 – Definition of Records

A.R.S. § 41-1350 provides the definition of a record.

A.R.S. § 41-4172 – Anti-Identification Procedures

A.R.S. § 41-4172 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 Town 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.

Scope

The Records Management Program is applicable to all Departments, officials, employees, and representatives of the Town of Camp Verde. All records defined under A.R.S. § 41-1346, including records maintained by the Town of Camp Verde, are the property of the State of Arizona. No Town 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 Town records is prohibited.

Objectives

The primary goal of the Records Management Policy is to provide for efficient, economical, and effective control over the creation, distribution, maintenance, use, preservation, and disposition of all Town of Camp Verde records, regardless of physical form or characteristic.

The Records Management Policy objectives are:

- *Provide written guidelines and procedures for the creation, retention, and disposition of the Town's records to ensure consistency and compliance with State law.*
- *Ensure periodic review and updating of the Records Retention and Disposition Schedules.*
- *Develop a plan for evaluating, identifying, protecting, and recovering the Town's mission critical records (Essential Records Protection and Recovery Plan).*
- *Develop a process for evaluating, identifying, preserving, and protecting the Town's historic documents (Historic Records Preservation).*

Duties and Responsibilities

Town Clerk

The Town Clerk is the Chief Records Management Officer of the Town of Camp Verde and is responsible for administering the Town's Records Management Program.

The Town Clerk:

- *Develops, approves, and applies general guidelines for the creation and version control of official Town documents (agendas, minutes, contracts, resolutions, ordinances, and publications).*
- *Confers with the Town Attorney, as needed, for legal review of new records management policies and procedures prior to implementation.*
- *Confers with the Town Manager, as needed, for approval of the Records Management Policy.*

Town Records Manager

The Town Records Manager (Deputy Clerk) is responsible for the day-to-day oversight of the Town's Records Management Program.

The Town Records Manager:

- *Oversees the daily operation of the Town's Records Management Program to ensure compliance with State law.*
- *Serves as the liaison to the State Library.*
- *Assists individual Departments in establishing an internal records program for active and inactive records.*
- *Prepares and maintains the Town Records Management Manual.*

- *Provides training in the fundamentals of the Records Management Program.*
- *Files destruction reports with the State Library.*
- *Prepares and maintains the Essential Records Protection and Recovery Plan.*
- *Evaluates and classifies historical and archival Town documents, and oversees their storage and preservation.*
- *Assists Departments and offices of the Town in the identification and preservation of the Town's historic and essential records.*
- *Makes recommendations on budgetary needs to ensure the Records Management Program is funded appropriately.*

Records Management Coordinator(s)

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

The Records Management Coordinator:

- *Maintains department records in a neat and orderly manner to facilitate the maintenance, retrieval, storage, and disposition of the records in compliance with State law.*
- *Establishes and maintains a current Retention and Disposition Schedule of all existing records created within the department.*
- *Identifies documents meeting destruction requirements and ensures their destruction.*
- *Prepares records management-related forms and reports.*
- *Works with the Town Records Manager to ensure compliance with records management laws, policies, and guidelines.*

Town Officials, Employees, and Representatives

All Town officials, employees, and representatives shall adhere to the Town's records management policies and procedures. No Town 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 Town records by any official, employee, or representative of the Town of Camp Verde is prohibited.

Duty to Protect Personal Information

A.R.S. § 41-4172 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 Town 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 Town 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:

- A. 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. §§ 41-4172 and 44-7601, all Departments 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.

Departments also must ensure the proper disposition of records containing personal information pursuant to the Town's record retention schedules. 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.

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 Town Records Manager is available to arrange testing by the State Library.

Employee

“Employee” for records management purposes shall mean any official; regular, part-time, or contract employee; representative; or volunteer of the Town of Camp Verde.

Record(s)

A.R.S. § 1350 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 41-1348, 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 therein.” (A.R.S. § 41-1350)

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 are those that, regardless of physical form, 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 for the Town to continue its key functions and activities 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 Town department is required to implement and adhere to the Town's Essential Records Protection and Recovery Plan. In addition, each department is specifically responsible for the identification and protection of its own essential records. Original documents are always filed in the Clerk's Office

Inactive Records

A record is considered to be inactive when there is 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 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*
- *Most Contracts*

Non-Records

A.R.S. § 1350 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.” (A.R.S. § 41-1350)

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 department and retained for informational purposes.*
- *Working papers and notes that do not pertain to a specific project.*
- *Drafts of reports or correspondence that have been finalized.*
- *Published materials originating from Town offices or other entities which require no action.*
- *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. The remaining copies of the document are considered to be non-record, reference copies generated for informational purposes. Non-records that are used on a regular basis in the course of a department’s official business must be listed either on the Town’s General Schedule or on a department’s custom schedule.

Non-record copies are discoverable and admissible as evidence in court and are subject to public records requests.

Permanent Records

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

- *Minutes of a public body of the Town (Town Council, boards, commissions, committees, as well as their respective subcommittees).*
- *Resolutions and ordinances of the Town Council.*
- *Documents declared by resolution to be a public record.*
- *One copy of the Town's annual reports.*
- *Original copy of organizational documentation (for example, 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, alkaline buffered, acid free paper, often referred to as archival paper. A.R.S. § 39-101 prescribes the material and storage conditions required for permanent public records and the penalty for noncompliance.

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 department, and contains an estimate of how long the information in each record series will be needed to accomplish Town business (often based on retrieval frequency).

Records Retention and Disposition Schedule

A Records Retention and Disposition 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 and disposition 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 Town of Camp Verde. 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.

SECTION 1: RECORDS RETENTION AND DISPOSITION SCHEDULE

All records created and/or maintained by officials, employees, and representatives of the Town of Camp Verde must be listed on a Records Retention and Disposition 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 department, specifies the period of time a record is retained, and authorizes the destruction of non-permanent records. The Town of Camp Verde adheres strictly to the state schedule.

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 maintained by a department, and contains an estimate of how long the information contained in each record series will be needed to accomplish Town business.

Step 2: Evaluate Each Record Series

After a comprehensive records inventory has been taken, each record series is evaluated retention classified as either “permanent,” “non-permanent,” or “non-record.” During the evaluation, an active retention period is determined.

Following the Retention Schedule

State and local agencies within Arizona are legally required to comply with their respective 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 the Town 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, contact the Town Records Manager to request an extension. The Town Records Manager will provide assistance in determining the archival value of the document in question.

A department must have written approval from the Town Records Manager before maintaining records longer than the time authorized by an approved retention schedule.

Periodic Review

The Town Records Manager will work with each department to ensure Retention and Disposition Schedules are reviewed every two years.

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.

Active Records

Paper records are usually retained within the department 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 the archival facility.

Inactive Records

When records are seldom referred to, their continued onsite retention becomes impractical. For this reason, most inactive records are stored until retention requirements have been met.

Departments should determine which records are eligible for transfer to storage by periodically (every 6 to 12 months) reviewing their respective Records Retention and Disposition Schedules.

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 (Town Clerk working in conjunction with the Town Attorney).

The State-approved Retention Schedule grants continuing authority to dispose of records that have met their scheduled retention period. With an approved schedule, the Town may dispose of listed records without further approval. The State requires the lawful and timely destruction of eligible records. A record should not be destroyed while it still has significant value, nor should it be retained after its value drops below the cost of continued retention. 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 (Town Clerk working in conjunction with the Town Attorney and/or Town Auditor).

Destruction of official Town records must be reported to the State Library after the records have been destroyed (A.R.S. § 41-1351).

Authorization To Destroy Records

The State-approved Retention and Disposition Schedule 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.

*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 Town Records Manager 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 Retention Schedule, the department's Records Management Coordinator must document the destruction on a Report/Certificate of Destruction Form and file it with the Town Records Manager. The Town Records Manager will retain a copy for the official files and forward the original report to the State.

A department's Records Management Coordinator is responsible for completing a Destruction Form for records that are destroyed.

Retaining Records After the Scheduled Retention Period Has Been Met

Authority from the Town Clerk 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 Town Records Manager or Town Clerk will consult with the Town 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.*

Methods of Destruction

Depositing records containing sensitive information in a landfill is not acceptable for Town of Camp Verde confidential records unless the documents have been cross-cut shredded.

Recycling is the recommended, cost effective method for destroying non-restricted or non-confidential public records. Placing records into recycle bins located throughout the Town's 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 is the recommended destruction method and complies with all statutory requirements concerning the protection of citizens' personal information.

SECTION 4: ELECTRONIC RECORDS, MICROFILM, & DOCUMENT IMAGING

All Town records, regardless of format, are to be maintained according to an approved Records Retention and Disposition 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 Report/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 are those which, regardless of physical form, 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 department must have approval from the State before converting paper to electronic records (scanning).

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

Electronic messages, including e-mail and voice messages, are subject to the Public Records Act (A.R.S. § 41-1350) and may be subject to public disclosure.

The majority of the Town's electronic e-mail or voice mail messages are communications that function much like phone calls and, for records management purposes, are considered to be non-records. Electronic messages cannot be given blanket retention periods because they are not technically a type of record or record series.

Rules relative to electronic messages are listed in the State's Records Retention and Disposition Schedule with a 30-day retention period for non-record e-mail and voice mail messages.

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.

Non-Records

Non-record electronic messages that do not meet the statutory definition of a record (A.R.S. § 41-1350) 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 Report/Certificate of Records Destruction form.

Records

If an electronic message is determined to be an official record (as defined in A.R.S. § 41-1350) 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 Town'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

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. 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 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).

Town Policies on Internet and E-Mail Use

The electronic communications capabilities of the Town 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 Town policies relating to these resources. Employees who violate these policies may be subject to disciplinary action.

SECTION 6: SOCIAL NETWORKING UTILITIES

Government entities and public officials taking advantage of social networking utilities (Twitter, Facebook, MySpace, 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.

SECTION 7: RECORDS REQUESTS

Public Records Request Policy

A. Purpose

The purpose of this policy is to assist Town departments with processing public record requests by defining the guidelines for non-commercial use requests, commercial use requests, and custom requests so as to protect the public's right to data, maximize cost recovery, and ensure the appropriate distribution of monies received in connection with providing public records.

B. Definition of Legal Responsibility

A number of legal provisions govern the Town's response to requests for public information. They are as follows:

- 1. The Public Records Act, ARS §39-121 through ARS §39-121.03;*
- 2. The Open Meetings Act, ARS §38-431;*
- 3. Various information-specific statutes and administrative regulations designating particular information as either subject to public access or as confidential;*
- 4. The body of law interpreting these provisions as reported in court decisions and opinions of the Arizona Attorney General.*

The Town of Camp Verde, as a public body, and its officers are responsible for maintaining records reasonably necessary or appropriate to preserve an accurate record of their activities. Permanent public records must be maintained in accordance with the requirements of ARS §39-101 and other state and federal laws. Other public records must be maintained in accordance with ARS §41-1347 and ARS §41-1351.

C. Policies and Procedures

The following policy is established to manage the provision of Town of Camp Verde public records:

- ▶ *The Public Records Act is to be interpreted liberally to facilitate broader access to public records.*
- ▶ *Public Records and other matters in the Town are presumed to be open for public inspection and shall be open to inspection during office hours, with certain exceptions.*
- ▶ *All information is considered public record, with three (3) broad exceptions:*
 - 1. **Confidentiality** – Disclosure is not required where prohibited by statute, court rule, or court order. (i.e. social security numbers, court orders, etc.)*
 - 2. **Personal Privacy** – Some data need not be disclosed due to an individual's privacy rights. (e.g., home address, telephone numbers, racial background, age)*

3. **Best Interest** – Disclosure may not be required if release of the information is not in the best interest of the public body. (i.e. release would inhibit public safety efforts or place the Town at a competitive disadvantage)

▶ **Generally:**

- ✓ *The Town of Camp Verde has the burden of proving that release of specific public information should not be allowed.*
- ✓ *Public record requests should be submitted to Town departments in writing. Department management has the discretion to accept verbal public record requests for data that is readily available.*
- ✓ *The standard forms supplied with this policy should be completed by a petitioner before any public record is released, unless the petitioner has already provided all the information in writing.*
- ✓ *Any person may request to examine or be furnished copies, printouts, or photographs of any public record during regular office hours. However, if the custodian does not have the facilities for making copies of the public records, the copies may be made while the public records remain in the control of the custodian and subject to the custodian's supervision. The Town is not required to allow the petitioner to make his own copies.*
- ✓ *Petitioners only have a right to the data that is already maintained and in the format in which it is currently kept. A public entity is not required to convert data to a different format or convert the magnetic media to one that the public entity does not use. (i.e. tapes to cds, 3/5" floppy disc to an 8", etc.)*
- ✓ *Information that falls within an exemption may be 'redacted', which means 'obscured', and the remainder must be disclosed. Just because one piece of information in a document does not have to be released does not mean that the entire document can be withheld.*
- ✓ *The custodian responsible for the public record may not avoid the responsibility of performing redaction by refusing access to records.*
- ✓ *Redaction must be done in good faith.*
- ✓ *Access to a public record cannot be refused if the record still exists beyond its retention date, even if the document should have been destroyed according to the schedule.*

- ✓ *The Town is not required to create a new record to meet a public record request. This means that we are not obligated to obtain new data, perform research projects, create new report formulas, convert data to different medium or formats, nor perform custom programming or extraction.*

- ✓ *Custom public record requests may be declined. However, a director or manager may choose to fulfill a request for non-existing information or for existing information in a different format or medium when it is in the Town's best interest to do so.*

- ✓ *Factors to consider when reviewing a custom public record request:*
 - ❑ *Availability of resources, such as personnel, equipment, etc.*
 - ❑ *The data subject to disclosure*
 - ❑ *Production costs*
 - ❑ *Maintenance costs*
 - ❑ *Impact on your department*
 - ❑ *Impact on the Town*

- ✓ *Once a 'custom' document is created or different data is collected in response to a custom request, that newly created document or data becomes a public record. The Public Record Request Policy will now apply to that newly created document or data.*

- ✓ *Any modification to the aforementioned 'custom' document (different time frame, layout, fields) makes the new request another custom request.*

- ✓ *What fees can be charged? Different rules apply to non-commercial purpose, commercial purpose, and custom requests for the recovery of costs. The Clerk will recommend fees for Council approval.*

▶ **Policy for Special Types of Public Record Requests**

Public Record Requests for Personnel Files and Evaluations

The Town's general policy is to keep personnel records confidential in order to preserve the employee's privacy rights. The Town will review a request for personnel files to determine whether the request is made pursuant to a matter of public interest, such as a claim letter, written complaint, criminal investigation, litigation, or an allegation involving misconduct of a public employee.

1. **Information that Will be Released:**

- ▶ Name

- ▶ *Job Title*
- ▶ *Department*
- ▶ *Supervisor*
- ▶ *Date of Hire*
- ▶ *Salary*
- ▶ *Date of Termination*

2. ***Information that May be Released:*** *If the request is made pursuant to a matter of public interest, the following information will be released:*

- ▶ *Personnel Action Form*

3. ***Information that Will NOT be Released:***

- ▶ *Social security number*
- ▶ *Date of birth*
- ▶ *Home address and phone number*
- ▶ *Personal identifying information*
- ▶ *Medical Records*

4. ***Requests for Inspection of Public Records***

The person making a public records request must be specific in the request so as not to interrupt daily activities. While the public has a right to inspect public records, this is not an unlimited right. Inspection is subject to reasonable rules and regulations. It is the responsibility of the custodian to safeguard the records, avoid unreasonable disruption of the functioning of the office, provide reasonable supervision and ensure there is no confidential information in the records to be reviewed prior to the inspection. As such, public inspection of records must be approved by the department head and scheduled if such request will interrupt normal day-to-day activities. Contact the Clerk or Town Attorney if you have any questions or concerns with this type of request.

5. ***Public Record Requests for Documents from Other Agencies***

Records from another agency are not the Town's records and therefore, should not be released by the Town. An agency may release documents to the Town that may include non-public information. The person making a public records request must be referred to the originating agency for the document to avoid potential legal issues for the Town. An example of this would be a request for a copy of a Superior Court Order. Please note, however, if the document has become a part of the Town's public records, it should be released.

6. **Public Record Requests from the News Media**

Public record requests from the media are not automatically considered commercial purpose requests.

7. **Request for Electronic Access to a Town Database**

Requests for electronic, 'remote' access to a Town database should be carefully considered from several perspectives prior to implementation. The Town Manager should be contacted to discuss the technological and customer service perspectives. The Town Attorney should be contacted to discuss legal concerns.

8. **Request for Electronic Copy of a Town Database**

The greatest concern surrounding such requests is the accidental disclosure of proprietary software. The request should be forwarded to the Town Attorney for legal concerns and the Town Manager to determine technological concerns.

9. **Request to Purchase Town Software Application**

Requests to purchase Town-developed software may involve questions of proprietary software. The Town Manager should be contacted to discuss technological concerns.

10. **Authority and Responsibility:**

*The **Town Clerk** shall:*

- ▶ Assist Town departments with analyzing public records requests.*
- ▶ Assist Town departments with calculating cost recovery for providing public records.*
- ▶ Assist with custom information requests. All custom requests must be submitted to the Clerk's Office for review and approval. The Clerk shall prepare correspondence in response to custom information requests.*
- ▶ Prepare reports to Council concerning information requests.*
- ▶ Approve and file Certificates of Destruction with the appropriate State agencies.*
- ▶ Keep staff updated with current records information and retention schedules.*
- ▶ Provide training on records management/retention procedures.*

*The **Town Attorney** shall assist departments in determining the level of confidentiality of their public records, pursuant to the following:*

- ▶ When the request is made concerning a matter currently in litigation or one that is likely to lead to litigation.*
- ▶ When the item requested is a memorandum containing legal advice from the Town Attorney or from one of the Town's outside counsel.*

- ▶ *When the request involves producing a draft of work in progress and not the final product.*
- ▶ *When, after reviewing the handbook and consulting your supervisor, you are unsure how to respond.*

Department Management shall:

- ▶ *Seek assistance from the Town Clerk.*
- ▶ *Develop the cost recovery strategy for all departmental records provided.*
- ▶ *Identify funding requests and priorities for the use of funds from the provision of department records.*
- ▶ *Ensure that all policies regarding public records and requests for public record are followed.*
- ▶ *Have discretionary power to accept or fulfill verbal record requests for records that are readily available.*

Note: *Council makes the final determination as to what department information is provided for commercial use.*

Marshal's Office – *Generally, all information in a police report is subject to release without editing unless that information falls into one of two categories set forth below. Editing, rather than outright refusal is the preferred method of protecting various records. Information that is generally subject to release without editing includes:*

- ▶ *A general description of the crime;*
- ▶ *The type of crime;*
- ▶ *Date and time of occurrence, if known;*
- ▶ *General description of property involved;*
- ▶ *Name of the victim, if known, if release will not interfere with the investigation of the offense, and the crime was not a sex offense.*
- ▶ *Name of the suspect, if release will not interfere with apprehension of the suspect or hinder the investigation.*

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 41-1348, 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 therein.” (A.R.S. § 41-1350)

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

To whom do Town records belong, the department or the Town of Camp Verde?

Neither. Records, as defined above, are the property of the State of Arizona. Municipal 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. § 41-1347). The individual Departments within the Town of Camp Verde, as well as the Town Clerk’s Office, simply serve as custodians of municipal 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, 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 and Disposition 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: work papers, drafts, notes, newsletters, publications, and reference/research material. Informational or courtesy copies of official records maintained by another department 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 department'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.

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 the 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*
- *Legal Opinions*
- *Most Contracts*

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

Some examples of permanent records include:

- *Council meeting minutes.*
- *Minutes of boards, commissions, and committees having decision-making authority.*
- *Resolutions and ordinances of the Town Council.*
- *Documents declared by resolution to be a public record.*

- One copy of the Town's annual reports.
- Original copy of organizational documentation.

Permanent records have special storage requirements and are to be maintained on high quality, high fiber content paper, often referred to as archival paper. 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 and Disposition Schedule?

A Records Retention and Disposition Schedule (also referred to as *Retention Schedule* or *schedule*) is the State-approved timetable that establishes the length of time a record must be kept. The retention and disposition 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 Town of Camp Verde. 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.

How do I report the destruction of records?

By law, all official Town records, including e-mail and electronic records, must be maintained and destroyed in accordance with the approved State Retention Schedule. Once retention periods are met, an approved retention schedule serves as the department's legal authority to destroy records listed on the schedule without any additional authorization from the State.

After a document has been destroyed in accordance with a State-approved Retention Schedule, the Department Records Management Coordinator must document the destruction on a Report/Certificate of Destruction Form and file it with the Town Records Manager. The Records Manager will retain a copy for the official files and forward the original report to the State.

Approval from the Town Records Manager is required to hold a record longer than its approved retention period. If a record is not listed on a current, State-approved 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 Town's Records Manager for assistance. Questions regarding whether a record can be destroyed should be directed to the Town Records Manager.

Most Town records are public records and are not considered confidential. Destroy non-confidential records by placing them in a Town recycling bins. Records that are confidential by law, or contain citizens' personal/financial information, must be shredded.

Prior to any official documents, e-mail, or electronic record, being destroyed in accordance with an approved retention schedule; the department's Records Management Coordinator must document and report the destruction by completing a Report/Certificate of Records Destruction form and submitting it to the Town Records Manager.

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

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.

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.

Who can I contact with questions regarding records management?

If you have any questions regarding records management contact the Clerk's Office.

APPENDIX A: LINKS TO ONLINE RECORDS MANAGEMENT FORMS

1. Public Records Request

2. Records Inventory Worksheet

3. Records Retention and Disposition Schedule

4. Request for Document Imaging Implementation

5. Report/Certificate of Records Destruction

6. Single Request for Records Destruction or Transfer

APPENDIX B: TRANSFERRING RECORDS TO STORAGE

The following items are needed to transfer records to Storage:

- ✓ **The State approved Retention Schedule.** Records being sent to storage must be listed on either the approved Retention Schedule or the approved Town General Retention Schedule.
- ✓ **A standard records box.** A standard records storage box is 1.2 cubic feet; 10" X 12" X 15" in size; 250-pound test; has one cutout handle at each end of the box; and has a separate, tight-fitting lid.
- ✓ **Records Center Box Label (one per box).**

Preparing Records for Storage

Records are to be placed into a standard size box using the same filing system used by the department for filing records onsite. Do not over pack—leave at least one inch of space inside the box to provide easy access to the records inside.

Store only one record series in a box. Examples of a record series are: liquor license applications, contracts, and training program evaluation records. It is not permissible to mix date ranges of the records stored within a single box. For example, records of the same series and a date range of January 1, 2000 through June 30, 2000 may be stored in the same box. Records of the same series having a date range of April 16, 1980 through July 10, 1982 cannot be stored with records having a date range of August 3, 1985 through October 16, 1987. Storing documents of a single record series, with the same date range and destruction date, allows the entire box of records to be destroyed without extensive sorting prior to destruction.

Preparing a Records Center Box Label

Prepare one Records Center Box Label for each box being transferred to Storage.

Sample Form: Records Center Box Label

SAMPLE

RECORDS RETENTION - STORAGE			
TODAY'S DATE		DEPARTMENT	
RECORD TYPE (i.e. Agreements)			
SECONDARY DESCRIPTION			
DATE FROM	DATETHRU	DESTRUCTION DATE	BOX NO. ___ OF ___
ACCESS RESTRICTED? ___ Yes ___ No		AUTHORIZED ACCESS BY :	
PREPARED BY:		RETENTION SCHEDULE:	

It is important to provide complete and detailed information on the box label.

Department Name: Department name (i.e. Public Works)

Record Series Title: Record type, or record series, which should appear exactly as it appears on the Records Retention and Disposition Schedule. If the record does not appear on an approved Retention Schedule, contact the Town Records Manager before transferring the records to storage.

Secondary Description: More detailed description of the record (i.e., Adams thru Davis, or Planning Case 2651 thru 3782, etc.).

Date From: Record having the earliest date.

Date Thru: Record having the latest date.

Destruction Date: The total number of years the record is to be kept, according to the approved Retention Schedule, determines the destruction date. Completion of this field is required. If the record series has a permanent retention period, the date shall be entered as 12/31/9999.

After completing the Records Center Box Label, make a department copy for future reference.

APPENDIX C: DOCUMENT STANDARDS

Sec. 1 Purpose

To provide guidelines for the construction, control and classification of official documents originated by officials, employees, and representatives of the Town of Camp Verde.

Sec. 2 Policies

1. Official documents originated by officials, employees, or representatives of the Town of Camp Verde 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 Town Clerk's Office retains official Town documents unless the Town Clerk designates another department or individual as the official record holder.

4. Designation of another individual or department as the record holder of an official document shall be in writing, signed by the Town Clerk, and kept on file in the Clerk's Office.

Sec. 3 Procedures

MINIMUM STANDARDS

At a minimum, official Town 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.

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, ten or 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 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.

RECORDING STANDARDS

Under some circumstances documents may need to be recorded with the Yavapai County Recorder's Office. Recorded documents must conform to Yavapai County 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

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 Town Code states that all contracts shall be executed in the name of the Town of Camp Verde by the Mayor and countersigned by the Town Clerk. Contracts and agreements subject to approval by the Town Council must contain signature blocks for the Mayor and Town Clerk and a signature block indicating "Approved as to form" for the Town Attorney.

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. 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 Town Clerk's Office is the official record holder of the Town's agreements and contracts, unless the Town Clerk designates, in writing, another department as the record holder.

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.

Exhibits and Attachments

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

Minutes

Minutes of all Town of Camp Verde public bodies, including, Council, board and commission, and other official Town 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 Town of Camp Verde public bodies are permanent records and must be maintained on archival paper, or on paper approved by the State Library.

Ordinances and Resolutions

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 Town Attorney before it can be placed on a Council agenda for consideration.

An ordinance that modifies the Camp Verde Town 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 identifying added text is to use all CAPS.

After an ordinance, or a resolution having the effect of an ordinance, has been adopted, the Town Clerk's Office is responsible for publishing the document in full in the official newspaper of the Town. 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 Town 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 Town Clerk in advance to ensure that publication requirements are met and to minimize associated costs.*

Reports

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.

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.

APPENDIX D: ESSENTIAL RECORDS PROTECTION AND RECOVERY PLAN

Purpose

The Town of Camp Verde Essential Records Protection and Recovery Plan identifies essential records and establishes guidelines for the preservation and access of information necessary for the Town to continue its key functions during an emergency or disaster.

The objectives of the Town'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 department's most critical functions*
- *Identify records protecting the legal and financial rights of the Town , 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 Town of Camp Verde essential records affected by an emergency or disaster*

Authority

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

A.R.S. § 41-1346(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.*

A.R.S. § 41-1346(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.*

A.R.S. § 41-1347(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.*

Responsibilities

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

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

The Town Records Manager oversees the daily implementation of the Essential Records Plan, including preparing, maintaining, and updating the Plan, as necessary.

Department Records Management Coordinators work with the Town Records Manager to identify, backup and store essential records within Departments. Department Records Management Coordinators are responsible for completing the Department's Essential Records List and filing them with the Town Records Manager. Department Records Management Coordinators are required to review these lists on an annual basis, update as necessary, and file any changes with the Town Records Manager within five (5) business days. In the event no changes are required, the Department Records Management Coordinator shall forward a memo to the Town Records Manager indicating the date of the review and stating that no changes are necessary.

During emergency situations, Department Records Management Coordinators are responsible for assessing damage to essential records, establishing safe storage locations, coordinating salvage efforts, and providing the Clerk and Records Manager 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 department during and after an emergency.*
- *Rights and Interests Records – Records essential to the protection of the legal and financial needs of the department, as well as records documenting individual rights affected by the department's activities and decisions. Rights and Interests Records include records that document the restriction of public access to areas of Town property (e.g., closing of Town parks, creating or enforcing curfews, fire restrictions). Examples of Rights and Interests Records that affect individual rights include policies and procedures, ordinances, regulations, and department rules.*

The Town's essential records must be available to Town 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 Town department is responsible for identifying and protecting its own essential records in compliance with the Town's Essential Records Plan. Essential records are to be maintained securely, be protected by a backup method (e.g., CDs, 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 department operations during emergency situations) should not be maintained on any computer that is dependent upon an outside power source.

Procedures

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

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

1. _____ **Department Records Management** notifies Records Recovery Team of the disaster.
2. _____ 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.
3. _____ Department Records Manager, or other designated member of the Records Recovery Team, identifies and lists the essential records to be reconstructed.
4. _____ Department Records Management Coordinator, or other designated member of the Records Recovery Team, retrieves the essential records backups and begins the reconstruction process.
5. _____ Team members index all non-essential records that cannot be salvaged and report them as destroyed.
6. _____ Department Records Management Coordinator, or other designated member of the Records Recovery Team, submits daily situation reports to the Town Clerk

Department Essential Records List

Department: _____ Office: _____

Records Management Coordinator _____ Phone # _____

<p><i>Record Series</i></p> <hr/>
<p><i>Media</i> _____ <i>Backup Media</i> _____</p>
<p><i>Location of Office</i></p> <hr/>
<p><i>Location of Record</i></p> <hr/>
<p><i>Location of Backup</i></p> <hr/>
<p><i>Offsite Storage Location</i></p> <hr/>
<p><i>Offsite Contact Person</i> _____ <i>Phone #</i> _____</p>

Record Series

Media _____ *Backup Media*

Location of Office

Location of Record

Location of Backup

Offsite Storage Location

Offsite Contact Person _____ *Phone #* _____

Department Records Recovery Team List

Department 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).

Department 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).

APPENDIX E: HISTORIC RECORDS PRESERVATION

Identifying Historic Records

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

Age alone is not an indicator 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 Town record, that captures the details of the Town's progress over the years.

Identifying historic records among the thousands of routine documents produced by the Town 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 municipal 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 Town 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 Town 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, such as "Which Way Camp Verde").*
- *Documents that demonstrate how public policy was initiated, or why a special program was considered or implemented (e.g., documentation regarding the studies, letters and petitions from citizens concerning a divisive issue, etc.).*
- *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.*
- *Town documents leading to, or responding to, newsworthy events (e.g., a local, catastrophic event; ballot measure referendums or initiatives; etc.).*

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 Town 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 Town .

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.

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 Town Records Manager and reflected on a Retention Schedule.

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