



# *Resolution*

NO. 1172

OFFICE OF THE  
MAYOR  
CITY OF SAN LUIS

**RESOLUTION OF THE MAYOR AND CITY COUNCIL OF THE CITY OF SAN LUIS, ARIZONA, DECLARING AS A PUBLIC RECORD THAT CERTAIN DOCUMENT FILED WITH THE CITY CLERK AND TITLED "THE CITY OF SAN LUIS RECORDS MANAGEMENT AND RETENTION POLICY"**

**NOW, THEREFORE, BE IT RESOLVED** by the Mayor and City Council of the City of San Luis, Arizona:

**Section 1:** That a certain document titled Exhibit A-"The City of San Luis Records Management and Retention Policy" and Exhibit B-"Certificate of Records Destruction", three (3) copies of which are on file with the City Clerk, are hereby declared to be a public record of the City of San Luis, Arizona.

**PASSED AND ADOPTED** by the Mayor and City Council of the City of San Luis, Arizona, this \_\_\_\_\_ day of \_\_\_\_\_ 2016.

\_\_\_\_\_  
Gerardo Sanchez, Mayor

**ATTEST:**

\_\_\_\_\_  
Sonia Cornelio, City Clerk

**APPROVED AS TO FORM:**

\_\_\_\_\_  
Kay Marion Macuil, City Attorney

**EXHIBIT A  
TO  
RESOLUTION NO. 1172**

City of San Luis Records Management and Retention Policy

See following pages.

**CITY OF SAN LUIS  
RECORDS MANAGEMENT AND RETENTION POLICY**

**1. POLICY.**

1.1 It is the policy of the City of San Luis (the "City") to facilitate the prompt and orderly disposition of records no longer possessing sufficient administrative, legal or fiscal value to warrant their further retention and to ensure the retention and preservation of records with continuing value for historical or research purposes. In addition, it is the policy of the City to administer a records management program to promote the economic and efficient management of the City's public records.

1.2 This City Records Management and Retention Policy (this "Policy") includes Records Retention and Disposition Schedules that have been approved by the Director of the Arizona State Library, Archives and Public Records and by the San Luis City Council. These schedules are in compliance with the City Code, Arizona Revised Statutes and other Federal, State and local rules and regulations relating to public records. This Policy also includes the procedures for changing or adding to these schedules.

1.3 Pursuant to Arizona Revised Statutes ("A.R.S.") Title 41, Chapter 1, Article 2.1, the City desires to establish and maintain a records management program, create and submit any custom records retention schedules for approval and appoint records managers/coordinators as appropriate. This Policy applies systematic controls and cost reduction principles to the City's records system through the use of the procedures outlined in this Policy and through the application of the authorized retention and disposition schedules. These schedules control the utilization, maintenance and storage of all phases of the life cycle of all records created and accumulated by the City. Compliance with the procedures and with the schedules as required by law.

**2. PURPOSE.**

2.1 The purpose of this Policy is to (A) provide guidance to City staff relating to records disposition and retention responsibilities under the San Luis City Code, Arizona Revised Statutes and other Federal, State and local rules, regulations and guidelines, (B) ensure the retention and preservation of records with continuing value for historical or research purposes and (C) facilitate the prompt and orderly disposition of records no longer possessing sufficient administrative, legal or fiscal value to warrant their further retention.

2.2 In addition, the purpose of this Policy is to (A) implement a records management program in order to provide better access to information, (B) reduce the costs of recordkeeping by implementing effective and efficient recordkeeping practices and (C) inform pertinent department personnel about their responsibilities as they pertain to records management.

### 3. APPLICABILITY.

3.1 The policies and procedures set forth herein apply to all records received, created or compiled by officials or employees of the City (including members of the City Council) in the daily conduct of City business and to any and all officials or employees of the City receiving, creating or compiling said records. The records are the property of the State of Arizona pursuant to A.R.S. §41-151.15. It is unlawful to remove them from the files or to destroy them except in accordance with the City Records Retention & Disposition Schedules, as defined in Section 4.2(B).

3.2 City departments should implement their records control and disposal programs in accordance with the guidelines set forth in this Policy. Each Department Director is responsible for ensuring that his or her department is maintaining an up-to-date copy of this Policy and ensuring that the policies and directives set forth are closely followed.

3.3 The cooperation of each department is necessary to keep their active filing systems closely related to the City Records Retention and Disposition Schedules as applicable to the department.

### 4. REFERENCE.

#### 4.1 Authority.

A. A.R.S. §§13-2407, 38-421, 39-101, and Title 41, Chapter 1, Article 2.1.

B. City of San Luis City Code

C. Rules, Regulations, Standards and Procedures issued by the Arizona State Library, Archives and Public Records.

#### 4.2 Definitions.

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

B. **CITY RECORDS RETENTION AND DISPOSITION SCHEDULES** - Records Retention and Disposition Schedules as approved by the Arizona State Library, Public Records and Archives and as declared as public records by the City Council.

C. **CORRESPONDENCE** - Any routine type of records generated in the conduct of daily work such as letters, memoranda, reports, emails and so forth.

D. DEPARTMENT RECORDS CLERK - A City employee who is responsible for the coordination of records and forms management, needs and operations between that department and the Records Center. Each Department Director shall be the Department Records Clerk for his or her corresponding department unless otherwise designated by the City Clerk.

E. DIRECTORY LISTING - All original documents that are assigned a numerical filing number and that are located in the off-site storage facility.

F. DISPOSITION - The action taken at the end of the retention period.

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

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

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

J. NUMERICAL FILING - A number assigned to active/archival original City documents in order to locate them in the off-site storage facility according to the Directory Listing.

K. RECORDS - All books, paper, maps, photographs or other documentary materials, regardless of physical form or characteristics, including prints or copies of such items produced or reproduced on file or electronic media pursuant to A.R.S. §41-151.16, made or received by any governmental agency in pursuance of law or in connection with the transaction of public business and preserved or appropriate for preservation by the City or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained in the record and includes records that are made confidential by statute.

L. RECORDS CENTER - An area located in the City Clerk's office which preserves and retains records.

M. RECORDS MANAGER - The individual responsible for the coordination, implementation and maintenance of the records retention and management program for the City. The City Clerk is hereby designated as the Records Manager.

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

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

P. RECORDS SERIES - A group of identical or related records which are normally used and filed as a unit and which permit evaluation as a unit for retention scheduling purposes.

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

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

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

## 5. ROLES AND RESPONSIBILITIES.

5.1 Records Manager. The Records Manager is vested with the authority and responsibility for the creation and ongoing implementation of records management.

A. The Records Manager shall:

(1) Establish and maintain an active, continuing program for the economical and efficient management of the public records of the City.

(2) Serve as liaison to the Arizona State Library, Archives and Public Records and ensure the City's compliance with the rules, regulations, standards, and procedures established by the Arizona State Library, Archives and Public Records.

(3) Develop the necessary standards and procedures in the overall field of records management, including the filing and retrieval of active records, records inventory and appraisal, inactive files management and retrieval and the management and control of essential records.

(4) Educate City officials and employees in all areas of records management.

(5) Assist the departments in the establishment and updating of the City Records Retention and Disposition Schedules in conformity with legal, administrative and fiscal constraints and as set forth in Section 7.1 and 7.2.

(6) Establish a forms creation and control program.

B. The Records Manager or designee shall:

(1) Establish and maintain records the City Records Retention and Disposition Schedules on file in the City Clerk's office.

(2) Coordinate the inventory of records with each department.

(3) Review the City Records Retention and Disposition Schedules for each department based upon the information obtained from the Records Inventory Worksheets and amend the City Records Retention and Disposition Schedules accordingly, contingent upon approval by the City Council and the Arizona State Library, Public Records and Archives, as more particularly set forth in Section 7.2.

(4) Receive from Department Records Clerk all boxes of eligible inactive records. Records assigned to the Records Center become the responsibility of the Records Manager.

(5) Keep an accurate record of all original active and archival records in the fireproof filing cabinets, in the electronic document system and in the off-site storage facility according to the Directory Listing.

(6) Dispose of the records located in the Records Center at the end of the retention period in accordance with the City Records Retention and Disposition Schedules.

(7) Assist in the retrieval and re-filing of records that are stored at the Records Center.

(8) Transfer permanent or long term records to the off-site storage facility and track the transfer of such records with a spreadsheet listing the boxes' barcode numbers.

(9) Assist and monitor the document imaging when other departments receive approval for document imaging by creating templates, reviewing scanned records series and keeping track of record series that have surpassed their retention period as set forth in the City Records Retention and Disposition Schedules for deletion from the system.

5.2 Department Records Clerk Each Department Director shall be the Department Records Clerk for his or her corresponding department unless otherwise designated by the City Clerk. The Department Records Clerk shall:

- A. Coordinate all records management activities within the department, including emails.
- B. Inventory and aid in the appraisal of the department records.
- C. Work closely with the Records Manager in the administration of requests for document imaging.
- D. Review on a regular basis the City Records Retention and Disposition Schedules as applicable to that department to determine which records are eligible for transfer to the Records Center.
- E. Box all inactive records pertaining to the department and make arrangements for transfer to the Records Center.

## 6. RECORDS.

6.1 Inventory. Each Department Records Clerk shall take an inventory of all of the records stored in the department and shall complete the Records Inventory Worksheet in the form attached hereto as Exhibit A and incorporated herein by reference, as may be amended. The record series should be as descriptive as possible. Any special requirement of a particular record series should be noted on the Records Inventory Worksheet. The Department Records Clerk shall submit the completed Records Inventory Worksheet to the Records Manager for review. After the initial inventory, supplemental inventories may be performed as needed or as directed by the Records Manager.

### 6.2 Records Categories.

A. Records. All documents and documentary material deemed to be records as defined in Section 4.2(K) herein.

### B. Non-Records.

1. Non-Records include, without limitation:

- (i) Extra copies of documents preserved only for convenience or reference;
- (ii) Reading, tickler, follow-up, or suspense copies of correspondence;
- (iii) Identical copies of documents maintained in the same file;
- (iv) Extra copies of printed or processed materials (official copies of which are retained by the department of record);

(v) Documents received from other departments that require no action (official copies of which are retained by the originating department);

(vi) Superseded copies of published manuals, other directives and drafts;

(vii) Materials documenting unofficial employee activities (blood drives, charitable funds, social and professional meetings, etc.);

(viii) Routing slips and standard transmittal sheets;

(ix) Incidental working papers, notes and emails;

(x) Preliminary working drafts;

(xi) Blank forms;

(xii) Transcribed stenographic materials;

(xiii) Catalogs, trade journals and other publications or papers received from government agencies, commercial firms or private institutions that require no action and are not part of an action case record;

(xiv) Correspondence and other drafts of short-term importance that, after action has been completed, have no future use.

(xv) Reproduction materials such as stencils, mimeograph masters, offset plates, etc.

(vxi) Physical exhibits, artifacts and material objects lacking documentary value;

(xvii) Library or museum materials made or acquired solely for reference or exhibition purposes; and

(xviii) Stocks of publications or documents intended for sale or distribution to interested persons.

(2) Non-records may attain the status of records in certain circumstances as determined by the Records Manager. Examples of this include (i) transmittal slips that have acquired record status because they serve to significantly clarify the document or documents being transmitted; (ii) multiple copies that have attained the status of records because each is serving a separate and distinct program purpose or if they are maintained in different filing systems; or (iii) published codes that have become records through their adoption by the City. The Department Records Clerk shall consult with the Records Manager to determine whether a material should be designated as a record or non-record.

(3) Non-records generally shall not be interfiled with official records.

C. Records with Historical or Archival Value. Certain records that are created, compiled and maintained in the departments have long-term research and reference value. These records should be designated as permanent and should be transferred to the City off-site storage facility or the Arizona State Library archives, as applicable, for preservation as soon as their active role is over according to A.R.S. §39-101. All records within the departments should be appraised to determine if they have historical value. Working in close association with City Clerk staff, the Department Records Clerk shall assess which records have historical significance and to determine when such records can be classified as inactive and thus be transferred to the City off-site storage facility or the Arizona State Library archives, as applicable. The Records Manager or designee retains the final decision in the City as to whether such records should be designated as permanent. Records with historical value include, without limitation:

(1) Minutes of boards, commissions and committees established by statute, resolution, proclamation or ordinance.

(2) City Council meeting minutes.

(3) Original or "official copies" of formal policy directives.

(4) Original Copy of organizational documentation including charts.

(5) Records documenting a historic or landmark event.

## 7. PROCEDURE FOR RETENTION, DISPOSITION AND DESTRUCTION OF RECORDS.

7.1 City Records Retention and Disposition Schedules. The City Records Retention and Disposition Schedules are on file with the City Clerk and may be amended from time to time in accordance with approval from the Arizona State Library, Public Records and Archives.

7.2 Amendments to Retention and Disposition Schedule. The Records Manager shall review the City Records Retention and Disposition Schedules at least annually to determine whether changes need to be made. If the Records Manager desires to amend the City Records Retention and Disposition Schedules, the City Council shall approve the amended schedules by resolution, declaring the amended schedules as public record, and the amended, approved schedules shall be submitted to the Arizona State Library, Public Records and Archives. Requests for custom amendments to the City Records Retention and Disposition Schedules must be submitted in writing to the Records Manager and are subject to approval by the Director of the Arizona State Library, Archives and Public Records.

7.3 Records Disposition. Final disposition of records is prescribed by the City Records Retention and Disposition Schedules.

#### 7.4 Records on Approved Schedule.

A. Only official records are put on the City Records Retention and Disposition Schedules.

B. Records should be retained in the originating department in accordance with City Records Retention and Disposition Schedules until they are no longer in active use. Generally, records must be referred to more than once a month to be considered active records. When records are referred to so seldom as to make their continued retention by originating department impractical, they are considered to have become inactive and should be transferred to the Records Center for appropriate disposition.

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

D. Records which have been determined to be of historical or archival value in accordance with Section 6.2(C) shall be transferred to the City off-site storage facility or the Arizona State Library archives, as applicable, as soon as administratively advisable per A.R.S. §39-101.

E. Records which must be retained longer than ten years and which have no archival value should be microfilmed and the hard copies destroyed, provided, however, that approval from the Director of the Arizona State Library, Archives and Public Records, pursuant to A.R.S. §41-151.16 must be obtained first.

#### 7.5 Surveillance (Security) Storage Media.

A. Surveillance Recordings - Including, but not limited to, Closed Circuit TV (CCTV) recordings of building exteriors / lobbies / other areas open to the general public.

B. Law Enforcement Recordings - Law enforcement recordings are audio and video records created by law enforcement for investigative purposes. This definition does not include law enforcement created recordings addressed by their retention schedules.

C. Evidentiary Recordings - These recordings have been determined to have content relevant to an investigation or prosecution.

D. Non-Evidentiary Recordings - All other law enforcement recordings.

7.6 Indexing; Document Imaging. The Records Manager or designee shall be responsible for indexing the minutes, ordinances, resolutions, contracts, agreements, deeds, pending agenda items, referred items and any other item concerning the actions of the City Council. Each department shall ask the Records Manager for assistance in any document imaging requests. Final approval is necessary from the Arizona State Library, Archives and Public Records prior to scanning documents in accordance with a document imaging implementation program pursuant to A.R.S. §41-151.16.

The Records Manager or designee shall have access to all departments' files for monitoring purposes of document imaging according to the City Records Retention and Disposition Schedules.

7.7 Active Records Filing. The Department Records Clerk shall work closely with City Clerk staff in setting up an efficient active records filing system and shall monitor changes made in filing systems to maintain compliance with the applicable City Records Retention and Disposition Schedules.

7.8 Preparing Records for Storage.

A. The Department Records Clerk shall prepare all inactive records in his or her department for transfer to the Records Center for appropriate disposition. In preparing the records for transfer, the Department Records Clerk shall establish that all such records are records, as opposed to non-records, and are being retained in accordance with this Policy and the rules, regulations, standards and procedures approved by the Arizona State Library, Archives and Public Records.

B. The Department Records Clerks shall pack all inactive records to be transferred in storage boxes in the same order in which they were kept in the active records file. All labels, serial numbers, file dividers and indexes shall be included with the records to maintain the integrity of the file. Each box shall contain only those records sharing the same destruction date.

7.9 Transferring Records to the Records Center.

A. The Department Records Clerk shall deliver all completed storage boxes to the Records Manager. Each box will be stored in the corresponding location until the expiration of the retention period, at which time it will be processed for destruction. In no event shall boxes be delivered to the Records Center without being checked in by the Records Manager or designee.

B. Only the Magistrate Court and Police Department shall store inactive records at the department until the Retention Period has passed. The Police Department Director shall arrange the transfer of the records to the Records Center at the discretion of the Records Manager when they are ready for destruction. The Police Department Director shall complete the Arizona State Library, Archives and Public Records Certificate of Records Destruction, in the form attached hereto as Exhibit B and incorporated herein by reference, as may be amended, and shall transfer for all inactive boxes with the Certificate of Records Destruction. Once approved by the Records Manager, the records will be slated for destruction.

#### 7.10 Retrieving Records from the Records Center.

A. If a department needs to retrieve records from boxes stored at the Records Center or the off-site storage facility, the Department Records Clerk or designee shall contact the Records Manager or designee. Only the Records Manager or designee may retrieve records from the Records Center.

B. All architectural/engineering plans and specifications shall be transferred to the Records Center and shall be kept until their retention period expires in accordance with the City's Records Retention and Disposition Schedules.

#### 7.11 Preparing Records for Disposition.

A. Records retained in the originating department for the duration of the retention period should be sent to the City Records Center for destruction at the end of the retention period as prescribed by the City Records Retention and Disposition Schedules.

B. Records stored at the Records Center or at the off-site storage facility will be pulled for destruction at the expiration of their scheduled retention period, and if feasible and necessary in the sole discretion of the Records Manager, the Records Manger or designee will notify the originating department of the impending destruction. The records will be held for 15 working days after the records are pulled unless information is provided to support a change in the retention period of a particular document or record series, including without limitation the reason set forth in Section 7.11(C). The originating department is responsible for notifying the Records Manager if a record should not be destroyed as scheduled or if the records scheduled for destruction fall under the Federal Privacy of Information Act and require destruction by shredding or other approved permanent method of destruction.

C. Scheduled destruction of records will be delayed for reasons such as court orders, litigation, audits, changes in the prescribed retention period or when there is a probability of litigation, each involving the records or requiring their use, or if the records may be required for legal discovery or ongoing audit purposes.

D. The Department Records Clerk shall report the destruction of records by completing a Certificate of Records Destruction, in the form attached hereto as Exhibit B. The Certificate of Records Destruction shall be approved and signed by the Records Manager or designee and it shall be mailed to the Arizona State Library, Archives and Public Records. A copy will be filed in the City Clerk's office and retained for one (1) year.

E. All records on document imaging system whose retention periods have expired will be noted on the Arizona State Library, Archives and Public Records Certificate of Records Destruction, in the form attached hereto as Exhibit B.

7.12 Methods of Disposition. Disposition may consist of any of the following:

- A. Destruction by shredding, pulping, or other approved permanent methods.
- B. Archival retention in accordance with Section 6.2(C).
- C. Micrographic reproduction with destruction of originals.
- D. Micrographic reproduction with archival retention of originals.
- E. Electronic/digital reproduction with destruction of originals.
- F. Electronic/digital reproduction with archival retention of originals.

7.13 In-House Records Destruction. The Department Records Clerk or the Records Manager or designee shall screen the documents from the inactive records boxes for confidential material, such as social security numbers, bank account numbers, etc. Once approved for destruction by the Records Manager, all boxes from Human Resources, Legal and Police Department shall be shredded by the department or via the Records Manager.

7.14 Outsourced Record Destruction. For documents not destroyed in house, the Records Manager shall confirm that those records are to be destroyed and shall submit these records for destruction to the appropriate vendor. Upon destruction, the vendor shall provide the Records Manager with an Affidavit of Destruction.

## 8. FORMS.

8.1 Forms Management. Forms management is the centralized and systematic control of forms, including design, utilization, revision and stocking of the forms.

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

B. In developing and maintaining an efficient forms management program, the Department Records Clerk shall:

- (1) Analyze the forms currently in use in the department in relation to their costs;
- (2) Eliminate the use of forms that have ceased to serve a useful purpose;
- (3) Redesign current forms and design new forms in a manner that will help achieve a maximum efficiency and usefulness;
- (4) Consolidate forms with substantially the same informational content or similar uses;

- (5) Eliminate extra copies of forms that are not routinely used or are needless; and
- (6) Identify the most economical and efficient methods for the printing, storage and distribution of forms.

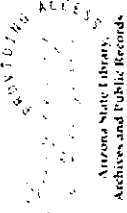
**EXHIBIT B  
TO  
CITY OF SAN LUIS  
RECORDS MANAGEMENT AND RETENTION POLICY**

Certificate of Records Destruction

See following page



ARIZONA STATE  
LIBRARY, ARCHIVES AND PUBLIC RECORDS  
A DIVISION OF THE ARIZONA SECRETARY OF STATE  
Joan Clark, State Librarian & Director



ARCHIVES AND RECORDS MANAGEMENT

INSTRUCTIONS

Use this form *ONLY* for records that were destroyed and were on a current approved Retention Schedule.

1. In the top section enter the name of your Agency or Public Body, and include any subdivision breakdown for division, department or unit.
2. List the Record Series titles associated with the destruction using the exact record series name(s) found on the approved Retention Schedule being following.
3. Enter either the schedule number or approved date for the Retention Schedule you are following to determine eligibility for destruction.
4. Enter the item number from the authorized schedule you are following.
5. Enter the earliest date of records you are requesting to destroy under the *Records Start Date* column and the latest date for the records you are requesting to destroy under the *Records End Date* column.
6. Enter the format of the records to be destroyed under the *Format: Paper, Digital, Microfilm* column.
7. Enter the amount of records being destroyed under the *Number of Files, Boxes, Reels or Electronic File Size* column.
8. If additional pages are needed for reporting, please save and print the form and fill in the corresponding page numbers at the top of the form.
9. At the bottom of the form enter the Agency or Public Body name, date on which the records were destroyed, and the printed and signed name of the individual who actually performed or arranged with a contracted vendor for the destruction of the records.
10. Mail or e-mail the original completed form to the Arizona State Library, Archives, and Public Records, Records Management Center. Fax copies are acceptable only if the received fax is legible.

RECORDS MANAGEMENT CENTER

1919 West Jefferson Street • Phoenix, Arizona 85009 • Home Page: <http://www.azlibrary.gov/records>  
Phone: (602) 926-3815 • FAX: (602) 256-2838 • E-Mail: [records@azlibrary.gov](mailto:records@azlibrary.gov)

