

ADMINISTRATIVE PROCEDURES



Procedure Number: 4-7

Effective Date: 03/24/09

Revision Date: _____


County Administrator

SUBJECT: **STORAGE/RETRIEVAL/DESTRUCTION OF RECORDS**

DEPARTMENT RESPONSIBLE: **Clerk of the Board
Document and Micrographics Management Division**

I. **STATEMENT**

The Pima County Records Management Program, administered by the Document & Micrographics Management Division (D&MM) of the Clerk of the Board, provides for the storage, retrieval and destruction of records in compliance with the Arizona Department of Library, Archives and Public Records (ASLAPR) guidelines.

II. **PROCEDURES**

Transfer of Inactive Records to the D&MM Facility

The facility is designed to provide low cost storage for records which have reached their office retention and are no longer accessed. Department records identified on the *Records Retention and Disposition Schedule* (Retention Schedule) may be transferred for storage and must conform to the following guidelines:

A. Packing Record Boxes

1. Records must be packed in an unmarked, approved records storage box. Boxes are to be purchased from the current County approved vendor. Non-conforming boxes will not be accepted.
2. The weight limit on a packed box is 35 pounds. The box should not be overstuffed and a 2 to 3 inch space should be left to allow for additional files to be added.
3. All boxes must contain records with the same destruction date.
4. Files must be placed neatly upright so that any file may be identified, located and retrieved efficiently (i.e., chronological, numerical or alphabetical order).
5. Hanging file folders (Pendaflex) are not to be used in a records storage box. They pose a hazard to any employee that must handle the container. Transfer all documents to file folders before packaging.
6. Ring binders, large binder clips or plastic binders/covers are to be removed and the documents transferred into file folders before packaging.

7. Whenever possible, plastic or metal materials, photographs, blueprints, video/audio cassettes or computer disks/diskettes should not be included in the box. If unavoidable, a notation must be made on the *Records Transfer List* (Exhibit A).
8. Boxes should never contain clothing, blood samples, glass or other sharp objects, or materials that are combustible in nature (e.g., evidentiary materials such as canisters, bullets, etc.).

B. Records Transfer List Preparation

1. A *Records Transfer List* must be completed for each box sent for storage. Departments with access to the Pima County Intranet should contact D&MM to receive training and obtain a User ID for access to the On-line Records Program. From the Records Program site, select the link for the *Records Transfer List*. The system will prompt you to enter the following required information:
 - a. The disposal date for the records or permanent, if applicable.
 - b. Do the records contain personal identifying information?
 - c. The department/division name.
 - d. The Record Series Title from the Retention Schedule.
 - e. Dates covered by records.
 - f. Description of the box contents.

Select submit and print the *Records Transfer List*. If Intranet access is not available, departments can download a *Records Transfer List* from the Clerk of the Board/Records Management website. (See sample and instructions provided as Exhibit A).

2. All boxes must contain an original *Records Transfer List* and two (2) copies.
3. Departments must contact D&MM to arrange for box pick-up.
4. D&MM will return a copy of the *Records Transfer List* with the assigned box number to the department.

C. Retrieval of Records from D&MM Facility

1. Records will only be released to the originating department.
2. Departments with access to the Intranet should request records using the On-line Records Program. The system will prompt you to submit the following information:
 - a. Records Center Box number.
 - b. Whether the request is for the entire box or for specific files within the box.
 - c. Any special routing or delivery instructions.

If Intranet access is not available, departments should telephone D&MM at 351-8454 or FAX the request to 351-8456.

3. D&MM is to be advised if the record is being activated and will not be returned to storage.
4. All requests must be received prior to 3:30 p.m. for next business day delivery. ASAP service is provided for emergencies only.

5. A signature is required for receipt of all record deliveries.
6. All D&MM forms that are attached to the delivered record must accompany the record when returned to storage.

D. Destruction of Records Stored at the D&MM Facility

1. When records have reached the end of their retention period, D&MM will provide to the department Records Coordinator a destruction packet which includes a *Notification of Destruction of Records* letter and a list of boxes scheduled to be destroyed. The Records Coordinator will sign and return to D&MM the letter acknowledging receipt of the destruction packet.
2. The department will have five business days to provide written notice explaining the reason to postpone the destruction of the record(s). If D&MM does not hear back from the department, within the five business days, the records will automatically be destroyed.
3. D&MM will not destroy any record(s) for which notification has been received on pending litigation. Upon notification of release from litigation hold, records will again be scheduled for destruction and the department Records Coordinator will be notified of such.

E. Destruction of Records Stored in Departments

1. Only Department records identified on the Retention Schedule will be destroyed by D&MM.
2. A *Records Destruction Request Form* must be completed. Departments can download the form from the Clerk of the Board/Records Management website or use the sample provided as Exhibit B. The *Records Destruction Request Form* must contain the following information:
 - a. Requestor's Department/Division.
 - b. Location/address where boxes are located.
 - c. Requestor's name and telephone number.
 - d. Do the boxes contain personal identifying information?
 - e. The record series title as described on the Retention Schedule.
 - f. The number of boxes for destruction.
3. Records will only be accepted in standard records storage boxes.
4. Records stored on other media (i.e., diskettes, CD's, video/audio cassettes, etc.) must be boxed and labeled separately.
5. Non-record materials will not be accepted for destruction and should be recycled/disposed by the department.
6. The *Records Destruction Request Form* should be faxed to D&MM. Box pick-up will be scheduled upon receipt of the request.
7. It is the responsibility of the individual departments to ensure that electronic records (i.e., e-mail, scanned images, databases and word processing documents) are destroyed pursuant to their approved Retention Schedule.

III. EXCEPTION

This Administrative Procedure does not apply to Clerk of the Superior Court.

IV. RELATED PROCEDURES

- A. Administrative Procedure No. 4-5, Pima County Records Management Program
- B. Administrative Procedure No. 4-6, Department Records Retention and Disposition Schedules
- C. Administrative Procedure No. 4-8. Document Imaging of Department Records

Forms

Forms are available on the Pima County Clerk of the Board/Records Management website.

Exhibit A, Records Transfer List & Instructions

Exhibit B, Records Destruction Request

EXHIBIT A

RECORDS TRANSFER LIST

RECORDS OF **(2)**

(DEPARTMENT) (DIVISION/SECTION)

ADDRESS **(3)**

(4) CHECK HERE IF RECORDS
CONTAIN PERSONAL
IDENTIFYING INFORMATION

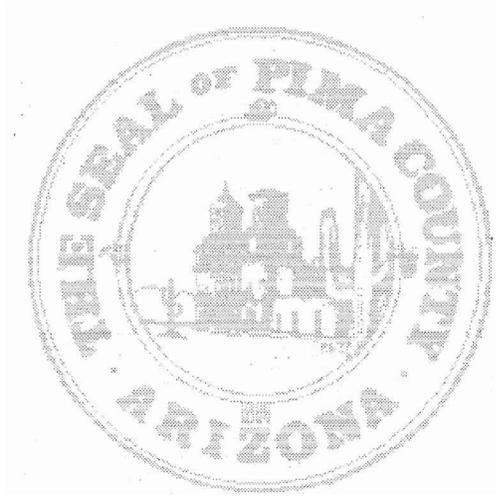
FILE ARRANGEMENT **(5)**

(PRIMARY INDEX KEY) (SECONDARY INDEX KEY)

RECORDS SERIES TITLE (SAME AS RETENTION SCHEDULE) (6)	DATES COVERED BY RECORDS		RECORDS CENTER SPACE NO.
	FROM	THRU	

Records Description:
(7)

(8)



Records Prepared by: (9)	Date:	Records Received by:	Date:
------------------------------------	-------	----------------------	-------

Records Checked by:	Date:
---------------------	-------

EXHIBIT A – INSTRUCTIONS

COMPLETING YOUR RECORDS TRANSFER LIST

All records sent to the Document & Micrographics Management Center for storage must be accompanied by a completed *Records Transfer List*. The following identifies each section that must be completed.

1. **Disposal Date:** This is the date that the records can be destroyed. This date represents the amount of time the records must be retained pursuant to your *Records Retention and Disposition Schedule* (Retention Schedule).
2. **Records of:** Enter the department and division name here.
3. **Address:** Enter the division location. Several departments have satellite offices so be specific.
4. **Confidential:** Please indicate if applicable, as this will indicate the box requires special handling.
5. **File Arrangement (Primary/Secondary Index):** What is the key order of your files? Chronological, Numerical or Alphabetical?
6. **Records Series Title:** This is found on your Retention Schedule. Enter the records series title that describes this record type.
7. **Description:** Identify box contents. You will need this information if you will need to retrieve a file from storage.
8. **From: - Thru:** Enter the dates covered by the records.
- 9: **Records Prepare by:** Enter the name of the person who prepared the *Records Transfer List*. If there is a problem with the box, we need to know who to contact.

EXHIBIT B

RECORDS DESTRUCTION REQUEST

RECORDS OF

(DEPARTMENT) (DIVISION/SECTION)

LOCATION

CONTACT NAME/PHONE

**CHECK HERE IF RECORDS
CONTAIN PERSONAL IDENTIFYING
INFORMATION**

RECORDS SERIES NUMBER & TITLE	NUMBER OF BOXES	TECH RECEIVING BOXES

FAX COMPLETED REQUEST TO 351-8456
OR Mail to Document & Micrographics Management