

	MARICOPA COUNTY SHERIFF'S OFFICE POLICY AND PROCEDURES	
	Subject RECORDS MANAGEMENT, STORAGE, AND DESTRUCTION	Policy Number GF-4
		Effective Date 06-26-25
Related Information ARS Title 41 Chapter 1 Article 2.1 Arizona State Library Archives and Public Records (AZ LAPR) Criminal Justice Information System (CJIS) Maricopa County Policy A2101, <i>Records Management</i> GD-9, <i>Litigation Initiation, Document Preservation, and</i> <i>Document Production Notices</i>		Supersedes NEW POLICY

PURPOSE

The purpose of this Office Policy is to establish guidelines and procedures for employees regarding the management of records within the Maricopa County Sheriff's Office.

POLICY

It is the policy of the Office to properly identify and retain records within the Office to ensure they are maintained, preserved, and destroyed in the manner prescribed by law and in accordance with the Arizona State Library, Archives and Public Records Retention Schedules.

DEFINITIONS

Active Records: Any data or information that is referred to frequently for various types of transactions. These records are usually maintained on-site within a division or maintained at the Sheriff's Warehouse.

Arizona State Library Archives and Public Records (AZLAPR): The division of the State government that establishes and maintains records retention schedules.

Business Needs Exception: A situation where an organization is allowed to deviate from a standard rule or regulation due to a specific business requirement that justifies the exception, essentially meaning they can bypass a normal process to address a unique need for the organization's operation.

Certificate Of Records Destruction Form: The official form from the Arizona State Library, Archives and Public Records (AZLAPR) division required to be completed for all records destruction. The form is a report that includes a list of all records to be destroyed.

Criminal Justice Information System (CJIS): A collection of data that law enforcement and other agencies use to perform their duties. The Federal Bureau of Investigation (FBI) maintains the CJIS, which includes a wide range of information about criminal activities, investigations, and individuals involved in the criminal justice system.

Electronic Records: Information that is recorded in a machine-readable format, such as digital or analog. These records shall be properly retained in acceptable electronic or other recordkeeping systems and must be destroyed in accordance with Arizona State Library and Public Records (AZLAPR) destruction policies, this Office Policy, and in accordance with the applicable records retention schedules as soon as practicable after their scheduled retention period ends.

Maricopa County Records Manager: A Maricopa County employee who has statutory authority and responsibility to manage the Records Management Program for Maricopa County and acts as a coordinator and liaison with the Arizona State Library and Public Records (AZLAPR) division. Also known as the Records Officer and Liaison with AZLAPR.

Permanent Record: Any record that is required, per an approved records retention schedule, to be retained on a permanent basis. These records must be preserved in such a way as to guarantee that they will be available perpetually. ARS 39-101 gives the Arizona State Library and Public Records (AZLAPR) the sole authority to determine the media, storage, and maintenance of permanent records. Permanent records which are “born digital” must be preserved in a manner that ensures their accessibility in perpetuity.

Records: All books, papers, maps, photographs, or other documentary materials, regardless of physical form or characteristics, including prints or copies of such items produced or reproduced on film or electronic media, made or received by any governmental agency pursuant to 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 in the record, and includes records that are made confidential by statute.

Records Coordinator: An individual for the Office who assists the Maricopa County Records Manager in ensuring the Office’s compliance with this Office Policy.

Records Management: The creation and implementation of systematic controls for records, regardless of media, 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.

Records Retention Schedule: The document that describes the time period that a Record Series shall be retained and the authorized time the record should be destroyed. The records must be retained for at least the length of time noted on the retention schedule. The records must be destroyed unless there is a compelling business needs exception as to why the records cannot be destroyed as indicated on the records retention schedule. There are two types of records retention schedules:

- A. **General Retention Schedule:** A model schedule issued by the Arizona State Library and Public Records (AZLAPR) division that shall be used by Arizona county officials, agencies or departments. If the AZLAPR model records retention schedules do not meet the needs of a particular county official or department, then a customized retention schedule may be developed and used if approved by the AZLAPR. The custom schedule would then govern both retention and disposition of records.
- B. **Custom Retention Schedule:** A customized schedule developed by a particular county official or department to meet the particular needs of that county official or department. Custom retention schedules need to be submitted and approved by the AZLAPR before they can be used.

Retention Time/Period: An amount of time listed on the records retention schedule that a record shall be maintained, either on-site or at an off-site storage facility before final disposition. The retention time/period is considered the minimum retention period.

PROCEDURES

1. **Document Preservation/Audit:** This Office Policy provides information regarding records management, storage, and destruction required for Office records. However, the Office and Office employees who have been directed to preserve potentially relevant records, documents, and electronically stored information (ESI) in anticipation of future litigation or audits shall suspend all normal and routine destruction of relevant records.

documents, and ESI. The information shall be preserved until released from the preservation, as specified in Office Policy GD-9, *Litigation, Initiation, Document Preservation, and Document Production Notices* or by the appropriate auditing authority.

2. **Division Responsibility:** Each division is responsible for identifying and retaining records in accordance with ARS Title 41, Chapter 1, Arizona State Library Archives and Public Records (AZLAPR). Office records will fall under either the General Records Retention Schedules or MCSO Custom Retention Schedules. Only those records that are not included on the AZLAPR General Records retention Schedules are included on the MCSO Custom Retention Schedules. If records need to be added to the MCSO Custom Retention Schedules an email requesting the addition shall be sent to <mailto:MCSORecordsRetentionSchedule@mcsso.maricopa.gov>
3. **Records Maintenance and Retention:** Active records are retained by each division within the Office unless they have been transferred to the Sheriff's Warehouse. All divisions, to include the Sheriff's Warehouse, are required to maintain records in accordance with the Arizona State Library Archives and Public Records (AZLAPR) retention schedule requirements. Employees who are responsible for records management in their respective divisions shall use the retention schedules included in this Policy to determine the retention period for any records.
 - A. All Office records shall be retained and should be disposed of, as specified in this Office Policy and in accordance with AZLAPR approved retention schedules. Criminal Justice Information System (CJIS) requirements are managed by the Technology Bureau.
 - B. Active records may be maintained in hard copy or electronic copy format. Records maintained in an electronic database or record keeping database such as, but not limited to, SHIELD, CAD, TraCS, and Blue Team, shall be managed by the Technology Bureau.
 - C. Office records may be microfilmed or electronically imaged *only* after approval has been granted by the AZLAPR.
4. **Permanent Records:** Permanent records are identified on the AZLAPR retention schedule(s).
 - A. Permanent records shall be maintained or preserved on acid-free paper or on microfilm.
 - B. Permanent records which are "born digital" must be preserved in a manner that ensures their accessibility in perpetuity.
 - C. Permanent records may be microfilmed or electronically imaged *only* after approval has been granted by the AZLAPR.
5. **Destruction and Purging of Records:** Employees who are responsible for records management in their respective divisions shall review their division's records to determine which records are eligible for final destruction according to the General and Custom retention schedules. Records should be destroyed as soon as practicable after their scheduled retention period ends unless they have been identified as part of a preservation or audit which would require authorization, or an approved business needs exception has been established, as specified in this Policy.
 - A. All destruction of records must be reported and documented. Prior to destruction, the designated employee shall complete a *Certificate of Records Destruction* form, and a *Closed Records Documentation* form (which lists what items are in the box). If the records are sent to the Records Warehouse prior to the destruction retention schedule due date, a copy of the completed *Certificate of Records Destruction* form along with a copy of the *Closed Records Documentation* form, shall be placed inside of the box. The box shall be labeled using the *Closed Records Label* and will be

attached to the end of each box. These forms can be found on the Office's shared drive in the Technology Bureau folder, under the Official MCSO Forms.

- B. When the destruction due date has been met, the designated employee at the originating division or the Records Warehouse shall ensure the completed *Certificate of Records Destruction* form is sent via email to the Records Coordinator at MCSO.RecordsRetentionSchedule@MCSO.Maricopa.gov.
 - 1. The Records Coordinator shall send the *Certificate of Records Destruction* form to the Maricopa County Records Officer for signature/approval to destroy the records. The Maricopa County Records Officer will send the signed/approved *Certificate of Records Destruction* form back to the Records Coordinator.
 - 2. The Records Coordinator will email a copy of the signed/approved *Certificate of Records Destruction* form to the responsible division and/or the Records Warehouse authorizing the destruction of the records. The Records Coordinator will also send an email copy of the approved *Certificate of Records Destruction* form to AZLAPR at records@azsos.libanswers.com
- C. When records meet their final disposition according to the retention schedule and approval has been received from the Records Coordinator, designated employees who are responsible for their divisions should destroy the records. Records may be destroyed as follows:
 - 1. Records of a confidential nature shall be securely shredded beyond replacement and use.
 - 2. Records that are not confidential in nature may be recycled.
 - 3. Electronic records are destroyed by the Technology Customer Client Support-PC Techs and are sanitized/disposed of by the following methods:
 - a. An electronic record may be deleted.
 - b. A hard drive will be "split" in half by a hard drive destruction device, making the media unusable.
 - c. Tapes and disc/flash drives will be degaussed and then disposed of.
- 6. **Non-Records:** For the purpose of this Policy, not all recorded information is a record. Non-records do not require retention, scheduling, authorization to destroy, or reporting of destruction. To control excessive accumulation, it is necessary to keep only current, useful materials, and to destroy non-records immediately after the non-record needs have been satisfied unless these items have been identified as part of a preservation, as specified in Office Policy GD-9, *Litigated Initiation, Document Preservation, and Document Preservation Notices* or an audit, which requires authorization. The following are considered non-records:
 - A. Extra copies of documents maintained only for convenience or reference.
 - B. Identical copies of documents maintained in the same file.
 - C. Materials documenting unofficial employee activities such as blood drives, charitable funds, social and professional meetings.
 - D. Routing slips and standard transmittal sheets.

- E. Work papers, drafts of reports, blank forms.
- F. 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.
- G. Correspondence and other records of short-term value that, after action has been completed, have no future use.

7. **Retention Schedules:** This Office Policy contains AZLAPR General Retention Schedules and for certain areas of the Office, Maricopa County Sheriff's Office Custom Retention Schedules. These schedules are to be used by employees to assist in determining which records within their division require retention and the authorized retention period.

- A. General AZLAPR Retention Schedules: The general AZLAPR retention schedules can be found at: [Retention Schedules - Arizona State Library, Archives and Public Records \(azlibrary.gov\)](https://azlibrary.gov). The following retention schedules are commonly used by Office personnel and may be accessed by clicking the applicable hyperlinks:

- 1. [Administrative and Management Records](#)
- 2. [Building Safety and Inspection Records](#)
- 3. [Copy Center and Mail Room Records](#)
- 4. [Criminal History Record Information Records \(For Non-Criminal Use\)](#)
- 5. [Financial Records](#)
- 6. [Human Resources / Personnel Records](#)
- 7. [Information Technology \(IT\) Records](#)
- 8. [Law Enforcement Records](#)
- 9. [Purchasing and Procurement Records](#)
- 10. [Warehouse / Supply Records](#)

- B. Maricopa County Sheriff's Office Custom Retention Schedules (Approved by AZLAPR 2025): The following retention schedules are commonly used by Office personnel and may be accessed by clicking the applicable hyperlinks:

- 1. Attachment A - [Canteen](#)
- 2. Attachment B - [Communications Division](#)
- 3. Attachment C - [Custody Bureau](#)
- 4. Attachment D - [Enforcement Bureau](#)
- 5. Attachment E - [Enforcement Support Division](#)

6. Attachment F - [Financial Services Bureau](#)
 7. Attachment G - [Human Resource Services Division](#)
 8. Attachment H - [Judicial Enforcement Division](#)
 9. Attachment I - [Policy Development Section](#)
 10. Attachment J - [Pre - Employment Services Division](#)
 11. Attachment K - [Property Management Division](#)
 12. Attachment L - [Public Records and Request Management Section \(PRRM\)](#)
 13. Attachment M - [Records and AFIS Division](#)
 14. Attachment N - [Sheriff's Information Management Services \(SIMS\)](#)
 15. Attachment O - [Special Investigations Division](#)
 16. Attachment P - [Training Division](#)
- C. If the record being researched is found in both the General and Custom Schedules, the record should be maintained for the longest noted period of time.
8. **Business Needs Exception:** If the record is to be retained beyond the specified retention period as noted in the General or Custom Schedules, then a business need exception will need to be written and approved by the Records Coordinator to justify the need for keeping the records beyond the scheduled retention period.
 9. For any questions regarding the contents of this Office Policy an email may be sent to the following email address: MCSO.RecordsRetentionSchedule@MCSO.Maricopa.gov