



# AUDIT HIGHLIGHTS

## City Clerk Operations

June 15, 2022

Audit No. 2207

### WHY WE DID THIS AUDIT

The City Clerk Operations audit was included on the City Council-approved fiscal year (FY) 2021/22 Audit Plan. The audit was conducted to evaluate controls over and effectiveness of City Clerk operations, such as official records, minutes and legal notice management and records retention management.

### BACKGROUND

The current City Clerk was appointed in March 2021. The City Clerk is responsible for giving notice of City Council meetings and keeping the official record of Council proceedings; conducting fair and open municipal elections; managing compliance with legal postings; and administering the accumulation, preservation, and accessibility of public records.

### City Auditor's Office

City Auditor 480 312-7867  
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### WHAT WE FOUND

**The City's Records Management Program can be improved by aligning enhanced program activities under a cyclical process.**

- Training is not comprehensive and has not been provided since 2019.
- Records inventories do not appear up to date, and 12 of the 174 records series reviewed contained inaccurate information.
- Many City departments are not submitting a Certificate of Records Destruction annually. Further, 19 of the 20 certificates reviewed had issues, including records destroyed early or late or having inaccurate or missing information.
- Monthly records inspections have not occurred since 2019, and the current records management processes are manual.

**An opportunity exists to improve Board and Commission-related staff training.**

Computer-based trainings could be more readily available for public meeting notice, agenda, and minutes posting requirements for staff liaisons.

### WHAT WE RECOMMEND

We recommend the City Clerk:

- Develop a comprehensive records management training that includes in-person and computer-based options.
- Ensure Records Inventories and Certificates of Records Destruction are current and accurate, and resume records inspections.
- Automate key tasks where feasible and consider offering computer-based training.

### MANAGEMENT RESPONSE

The City Clerk agreed with the recommendations and plans implementation by March 2023.