

Division of Accounting – Policies and Procedures Manual Standard Policies and Procedures	
Policy Number: AUB-05-10	Revision Number 6
Subject: Utility Records	Effective Date: 07-01-2017
	Superintendent Approval:
	General Manager Approval:

1.0 Purpose

Pursuant to Tenn. Code Ann. § 10-7-503(g), the following Public Records Policy for Athens Utilities Board (AUB) is hereby adopted by AUB to provide economical and efficient access to public records as provided under the Tennessee Public Records Act (TPRA) in Tenn. Code Ann. § 10-7-501, et seq.

The TPRA provides that all state, county and municipal records shall, at all times during business hours, which for public hospitals shall be during the business hours of their administrative offices, be open for personal inspection by any citizen of this state, and those in charge of the records shall not refuse such right of inspection to any citizen, unless otherwise provided by state law. See Tenn. Code Ann. § 10-7-503(a)(2)(A). Accordingly, the public records of AUB are presumed to be open for inspection unless otherwise provided by law.

Personnel of AUB shall timely and efficiently provide access and assistance to persons requesting to view or receive copies of public records. No provisions of this Policy shall be used to hinder access to open public records. However, the integrity and organization of public records, as well as the efficient and safe operation of AUB, shall be protected as provided by current law. Concerns about this Policy should be addressed to the Public Records Request Coordinator (PRRC) for AUB or to the Tennessee Office of Open Records Counsel (OORC).

This Policy is available for inspection and duplication in the office of AUB and is posted online at www.aub.org. This Policy shall be reviewed every two years by the PRCC and updated if appropriate by AUB.

2.0 Definitions:

- A. *Records Custodian*: The office, official or employee lawfully responsible for the direct custody and care of a public record. See Tenn. Code Ann. § 10-7-503(a)(1)(C). The records custodian is not necessarily the original preparer or receiver of the record.
- B. *Public Records*: All documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings, or other material, regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency. See Tenn. Code Ann. § 10-7-503(a)(1)(A).

- C. Public Records Request Coordinator: The individual, or individuals, designated in Section III, A.3 of this Policy who has, or have, the responsibility to ensure public record requests are routed to the appropriate records custodian and are fulfilled in accordance with the TPRA. See Tenn. Code Ann. § 10-7-503(a)(1)(B). The Public Records Request Coordinator may also be a records custodian.
- D. Requestor: A person seeking access to a public record, whether it is for inspection or duplication.

3.0 Requesting Access to Public Records

- A. Public record requests shall be made to the PRRC or his/her designee in order to ensure public record requests are routed to the appropriate records custodian and fulfilled in a timely manner.
- B. Requests for inspection only cannot be required to be made in writing. The PRRC should request a mailing, or email, address from the requestor for providing any written communication required under the TPRA.
- C. Requests for inspection may be made orally or in writing at 100 New Englewood Road, Athens Tennessee, or by phone at (423) 745-4501 or email at aub@aub.org .
- D. Requests for copies, or requests for inspection and copies, may be made in writing using the attached **Form A, "Public Record Request Form"**.
- E. Proof of Tennessee citizenship by presentation of a valid Tennessee driver's license is required as a condition to inspect or receive copies of public records.
- F. Customers of AUB can obtain all available historical information about their account during normal business hours simply by requesting information from an AUB Customer Service Representative. All AUB policies and procedures, as well as rates schedules for all rate classes across all divisions, are on AUB's website at www.aub.org via links from the homepage. Further, AUB issues news releases to regional media regarding all rate actions across all divisions, including monthly news releases regarding TVA's Fuel Cost adjustments and the resulting effective rates for the month to come.

3.1 Responding to Public Records Requests

- A. Public Record Request Coordinator

1. The PRRC shall review public record requests and make an initial determination of the following:
 - a. If the requestor provided evidence of Tennessee citizenship;
 - b. If the records requested are described with sufficient specificity to identify them; and
 - c. If the Governmental Entity is the custodian of the records.
2. The PRRC shall acknowledge receipt of the request and take any of the following appropriate action(s):
 - a. Advise the requestor of this Policy and the elections made regarding:
 - i. Proof of Tennessee citizenship;
 - ii. Form required for copies;
 - iii. Fees (and labor threshold and waivers, if applicable); and
 - iv. Aggregation of multiple or frequent requests.
 - b. If appropriate, deny the request in writing, providing the appropriate ground such as one of the following:
 - i. The requestor is not, or has not presented evidence of being, a Tennessee citizen.
 - ii. The request lacks specificity.
 - iii. An exemption makes the record not subject to disclosure under the TPRA.
 - iv. The Governmental Entity is not the custodian of the requested records.
 - v. The records do not exist.
 - c. If appropriate, contact the requestor to see if the request can be narrowed.
 - d. Forward the records request to the appropriate records custodian.
 - e. If requested records are in the custody of a different governmental entity, and the PRRC knows the correct governmental entity, advise the requestor of the correct governmental entity and PRRC for that entity if known.

3. The designated PRRC is:
 - a. Name or title: General Manager
 - b. Contact information: 100 New Englewood Road, Athens, Tennessee 37371-0689, Email: aub@aub.org, Phone (423) 745-4501.
4. The PRRC shall report to the governing authority on an annual basis about the Governmental Entity's compliance with the TPRA pursuant to this Policy and shall make recommendations, if any, for improvement or changes to this Policy.

B. Records Custodian

1. Upon receiving a public records request, the records custodian shall promptly make requested public records available in accordance with Tenn. Code Ann. § 10-7-503. If the records custodian is uncertain that an applicable exemption applies, the custodian may consult with the PRRC, counsel, or the OORC.
2. If not practicable to promptly provide requested records because additional time is necessary to determine whether the requested records exist; to search for, retrieve, or otherwise gain access to records; to determine whether the records are open; to redact records; or for other similar reasons, then a records custodian shall, within seven (7) business days from the records custodian's receipt of the request, send the requestor a completed **Form B, "Public Records Request Response Form"**.
3. If a records custodian denies a public record request, he or she shall deny the request in writing as provided in Section III.A.2.b using the Public Records Request Response Form.
4. If a records custodian reasonably determines production of records should be segmented because the records request is for a large volume of records, or additional time is necessary to prepare the records for access, the records custodian shall use the Public Records Request Response Form to notify the requestor that production of the records will be in segments and that a records production schedule will be provided as expeditiously as practicable. If appropriate, the records custodian should contact the requestor to see if the request can be narrowed.
5. If a records custodian discovers records responsive to a records request were omitted, the records custodian should contact the requestor concerning the omission and produce the records as quickly as practicable.

C. Redaction

1. If a record contains confidential information or information that is not open for public inspection, the records custodian shall prepare a redacted copy prior to

providing access. If questions arise concerning redaction, the records custodian should coordinate with counsel or other appropriate parties regarding review and redaction of records. The records custodian and the PRRC may also consult with the OORC or with the Office of Attorney General and Reporter.

2. Whenever a redacted record is provided, a records custodian should provide the requestor with the basis for redaction. The basis given for redaction shall be general in nature and not disclose confidential information.

4.0 Inspection of Records

- A. There shall be no charge for inspection of open public records.
- B. The location for inspection of records within the offices of AUB should be determined by either the PRRC or the records custodian.
- C. Under reasonable circumstances, the PRRC or a records custodian may require an appointment for inspection or may require inspection of records at an alternate location.

5.0 Copies of Records

- A. A records custodian shall promptly respond to a public record request for copies in the most economic and efficient manner practicable.
- B. Copies will be available for pickup at a location specified by the records custodian.
- C. Upon payment for postage, copies will be delivered to the requestor's home address by the United States Postal Service.
- D. A requestor will be allowed to make copies of records with personal equipment.

6.0 Fees and Charges and Procedures for Billing and Payment

- A. Fees and charges for copies of public records should not be used to hinder access to public records.
- B. Records custodians shall provide requestors with an itemized estimate of the charges using **Form A** prior to producing copies of records and may require pre-payment of such charges before producing requested records.
- C. When fees for copies and labor do not exceed \$ 30.00, the fees may be waived. Requests for waivers for fees above \$ 30.00 must be presented to PRRC, who is

authorized to determine if such waiver is in the best interest of AUB and for the public good. Fees associated with aggregated records requests will not be waived.

D. Fees and charges for copies are as follows (*if higher than the amounts authorized by the OORC Schedule of Reasonable Charges, documentation should be attached*):

1. \$0.15 per page for letter- and legal-size black and white copies.
2. \$0.50 per page for letter- and legal-size color copies.
3. Labor when time exceeds 2 hours.
4. If an outside vendor is used, the actual costs assessed by the vendor.

E. No duplication costs will be charged for requests for less than 20 pages.

F. Payment is to be made in cash or approved personal check.

G. Payment in advance will be required when costs are estimated to exceed \$30.00.

I. Aggregation of Frequent and Multiple Requests

1. AUB will aggregate record requests in accordance with the Frequent and Multiple Request Policy promulgated by the OORC when more than 4 requests are received within a calendar month (either from a single individual or a group of individuals deemed working in concert).

2. Aggregated Records:

- a. The level at which records requests will be aggregated is more than 4 individual request determined to be related and received within a period of 1 month.
- b. The PRRC is responsible for making the determination that a group of individuals are working in concert. The PRRC or the records custodian must inform the individuals that they have been deemed to be working in concert and that they have the right to appeal the decision to the OORC.

Routinely released and readily accessible records excluded from aggregation include, but are not limited to: historical information about their account during normal business hours; AUB policies and procedures; rates schedules for all rate classes across all divisions; and monthly news releases.

7.0 Record Retention

The following will be used as a basis to determine how long records generated in the normal course of business will be retained. The List is not all inclusive.

2 Years

- a. Correspondence

3 Years

- a. Daily cash summaries
- b. Bank deposit slips
- c. Inventory records
- d. Employee time records
- e. Invoices
- f. Purchase orders
- g. Customer billing stubs
- h. Garnishments

6 Years

- a. Contracts (after maturity of cancellation)
- b. Leases (after maturity)
- c. Insurance policies
- d. Claims records
- e. Duplicate receipts
- f. Canceled Checks
- g. Redeemed bond/interest coupons
- h. Canceled certificates of deposit

10 Years

- a. Accounts receivable detail records
- b. Inventory ledgers
- c. Cost records
- d. Journal vouchers
- e. Subsidiary revenue ledgers
- f. Expense ledgers
- g. Voucher or check register

Permanent Records

- a. Audit and financial reports
- b. Bond and interest ledgers
- c. Certificate of bonds and interest coupons destroyed
- d. Charts of accounts and procedure manuals
- e. Deeds and other title documents
- f. Employee payroll records, payroll register, and supporting tax documentation
- g. Fixed asset records
- h. General ledgers and cash journals
- i. Investment security or trust records
- j. Deposit records
- k. Special assessment ledgers

FORM A

PUBLIC RECORDS REQUEST FORM

The Tennessee Public Records Act (TPRA) grants Tennessee citizens the right to access open public records that exist at the time of the request. The TPRA does not require records custodians to compile information or create or recreate records that do not exist.

To: Athens Utilities Board Public Records Request Coordinator, Eric Newberry – General Manager, 100 New Englewood Road, P.O. Box 689, Athens, Tennessee 37371-0689

From:

Is the requestor a Tennessee citizen? Yes No

Request: Inspection

Copy/Duplicate

If costs for copies are assessed, the requestor has a right to receive an estimate. Do you wish to waive your right to an estimate and agree to pay copying and duplication costs in an amount not to exceed \$_____? If so, initial here: _____.

Delivery preference: On-Site Pick-Up
Mail
 Electronic

USPS First-Class

Records Requested:

Provide a detailed description of the record(s) requested, including: (1) type of record; (2) timeframe or dates for the records sought; and (3) subject matter or key words related to the records. Under the TPRA, record requests must be sufficiently detailed to enable a governmental entity to identify the specific records sought. As such, your record request must provide enough detail to enable the records custodian responding to the request to identify the specific records you are seeking.

Signature of Requestor and Date Submitted: _____

FORM B

PUBLIC RECORD REQUEST RESPONSE FORM

Athens Utilities Board, 100 Englewood Road, P.O. Box 689
Athens, Tennessee 37371-0689

Date: _____

Requestor's Name and Contact Information:

In response to your records request received on [Date Request Received], our office is taking the action indicated below:

- The public record(s) responsive to your request will be made available for inspection:
Location: _____
Date & Time: _____
- Copies of public record(s) responsive to your request are:
 - Attached;
 - Available for pickup at the following location: _____ or;
 - Being delivered via: USPS First-Class Mail Electronically Other: _____.
- Your request is denied on the following grounds:
 - Your request was not sufficiently detailed to enable identification of the specific requested record(s). You need to provide additional information to identify the requested record(s).
 - No such record(s) exists or this office does not maintain record(s) responsive to your request.
 - No proof of Tennessee citizenship was presented with your request. Your request will be reconsidered upon presentation of an adequate form of identification.
 - You are not a Tennessee citizen.
 - You have not paid the estimated copying/production fees.
 - The following state, federal, or other applicable law prohibits disclosure of the requested records: _____.
- It is not practicable for the records you requested to be made promptly available for inspection and/or copying because:
 - It has not yet been determined that records responsive to your request exist; or
 - The office is still in the process of retrieving, reviewing, and/or redacting the requested records.

The time reasonably necessary to produce the record(s) or information and/or to make a determination of a proper response to your request is: _____.

If you have any additional questions regarding your record request, please contact [Records Custodian or Public Records Request Coordinator].

Sincerely,

[Records Custodian or Public Record Request Coordinator]
[Name, Title, and Contact Information]