

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 05

#### BUILDING AND STRUCTURE RECORDS

General Description: Records relating to the building permit and inspection functions.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

##### 05.010 ADDRESS HISTORY FILES

Records maintained by some municipalities as address history files to provide a chronological record and running history of building-related activities for each address.

Retention: Permanent

##### 05.020 APPLICATIONS FOR BUILDING PERMITS

Applications for the erection of new structures or modifications to existing structures.

###### ***A. Applications for Building Permits Issued***

Retention: 180 days after completion

###### ***B. Applications for Building Permits Not Issued***

Retention: 180 days after application

##### 05.030 BUILDING AND DEMOLITION PERMITS

Permits issued for construction-related activities (such as new construction, remodeling, renovation, installation of plumbing, electrical or mechanical equipment, demolition, etc.).

Retention: 10 years after revocation or demolition, *except* retain permits for structures with historic designations permanently

##### 05.040 BUILDING REVIEW BOARD CASE FILES

Records pertaining to cases or appeals heard by the Fire Code Board of Appeals, Building Board of Adjustment, Building Board of Appeals or other boards with review and/or decisionmaking authority regarding code compliance, alternate building materials, methods of construction, building code violations or similar matters.

Retention: 20 years

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### 05.050 CERTIFICATES OF OCCUPANCY

Documents issued after the permitted construction activity is completed as evidence that all minimum requirements have been met before the building or structure can be occupied and used.

Retention: Until a new certificate of occupancy is issued, OR 10 years after demolition, *except* retain permanently for structures with historic designations

### 05.060 CONSTRUCTION DRAWINGS AND PLANS

Blueprints and specifications submitted as supporting documentation for a building permit.

#### ***A. Nonresidential***

##### ***1. Approved***

Drawings, plans (final or as-built) or specifications for a nonresidential building permit for public buildings, or commercial, industrial or apartment structures.

Retention: 10 years after demolition, *except* retain permanently for structures with historic designations

##### ***2. Not Approved***

Unapproved drawings, plans or specifications submitted for a nonresidential building permit.

Retention: 2 years from date of denial

#### ***B. Residential***

##### ***1. Approved***

Drawings, plans (final or as-built) or specifications for a residential building permit. Retention: 180 days after completion or as directed by the building code adopted by reference

##### ***2. Not Approved***

Unapproved drawings, plans (final or as-built) or specifications for a residential building permit.

Retention: 180 days after submitted or as directed by the building code adopted by reference

### 05.070 INSPECTION RECORDS

#### ***A. Building and Structure Inspection Reports***

Records of final on-site inspections done to determine compliance with building, electrical, fire, plumbing, mechanical or other requirements and building standards; also includes other inspection reports, such as inlet inspections, proof roll inspections. etc.

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Retention: 10 years after demolition [CRS 13-80-102, CRS 13-80-104]

### ***B. Soil Condition Reports***

Records of inspections of soil conditions, including nature, distribution and supporting ability of soils and rocks on building sites prior to issuance of building permits or approval of development proposals.

Retention: 20 years

### ***C. Trailer/Mobile Home Inspection Reports***

Records of inspections of mobile home installations, anchoring, utility connections, etc.

Retention: 2 years

### ***D. Unsafe Buildings***

Documentation of complaints, inspections, notifications, corrective actions, closure and boarding, demolition and related actions relating to buildings and structures determined to be unsafe.

Retention: 5 years after final action

## **05.080 REGISTERS AND LEDGERS – BUILDING PERMITS**

Record books, ledgers or computer printouts listing issued building permits.

Retention: 3 years, *except* retain permanently if the register or ledger is older than 1920

## **05.090 SIGNS – CONSTRUCTION AND INSTALLATION**

Records documenting permits for installations of billboards, signs and banners.

Retention: 3 years

### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Building permit fee collection – 30.020, Accounts Receivable (A/R) Records
- Codes adopted by reference – 40.070.A, Codes Adopted by Reference
- Communication tower permits – 75.020.F, Permits Issued by the Municipality in General
- Contractor's licenses – 75.020.B, Contractor's Licenses/Registrations
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Fence permits – 75.020.F, Permits Issued by the Municipality in General
- Gas and oil drilling structures - 75.020.F, Permits Issued by the Municipality in General
- Landmark designations – 50.040, Landmark and Historic Designation
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

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### SCHEDULE NO. 10

#### CEMETERY RECORDS

General Description: Records relating to the administration, management and operation of cemeteries. *No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

##### 10.010 BURIAL RECORDS

Records documenting burials and inurnments, such as burial permits and stubs, burial permit register, death certificates, deceased persons book, final disposition records, physician's report, foundation order books and records of interment or inurnment.

Retention: Permanent

##### 10.020 CEMETERY BOUNDARY AND LOT RECORDS

Records pertaining to the location, layout and ownership of the cemetery and individual =cemetery lots or mausoleums, including abandonment records, block books, cemetery maps, indexes (alphabetical and location), plat books, and cemetery deeds and stubs.

Retention: Permanent

##### 10.030 CEMETERY FINANCIAL RECORDS

Records of financial transactions documenting perpetual care arrangements and lot ownership or burials, including financial records of the sale of cemetery lots, accounts receivable ledger, cashbook and receipts maintained by a self-sufficient cemetery separately from the municipality's financial and accounting systems.

Retention: Permanent

##### Cross References

- Agreements and contracts – 40.030, Agreements and Contracts
- Cemetery contractor licenses – 75.020.B, Contractor's Licenses/Registrations
- Cemetery fee collection records – 30.020, Accounts Receivable (A/R) Records
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- Vandalism – 95.050.C, Damage Records

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### SCHEDULE NO. 15

#### ELECTION RECORDS

General Description: Records documenting the administration of elections conducted by the municipality and/or in coordination with the county.

Contested Elections: Destruction of nonpermanent election records is authorized at the end of the specified minimum retention period, provided that there was no contested election. However, if the election is contested, all election records must be retained until the contest has been finally resolved and all rights to appeal have expired.

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#### 15.010 ABSENTEE VOTER RECORDS

Records accounting for absentee ballots, including applications for absentee ballots, lists of absentee voters, absentee ballot return envelopes and receipts of election judges for absentee ballots.

Retention: 6 months after election [CRS 31-10-616(2)]

#### 15.020 BALLOT ISSUE COMMENTS

Written comments received from persons eligible to vote in the election to be summarized in the ballot issue notice mailed to registered electors [CRS 1-7-901].

Retention: 6 months after election [CRS 31-10-616(2)]

#### 15.030 BALLOTS

The official ballot showing candidates and measures, including ballots that are unused, voted, absentee, defective, spoiled, replacement, provisional or mailed and returned by the post office as undeliverable.

Retention: 6 months after election, *except* retain one copy of each type of sample ballot permanently and dispose of other sample ballots immediately after election [CRS 31-10-606, CRS 31-10-616(1)]

#### 15.040 CAMPAIGN REPORTS AND STATEMENTS

##### **A. Candidates**

Affidavits of familiarity with the Fair Campaign Practices Act, candidate committee statements of organization, and campaign contribution and expenditure reports.

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### **1. Elected Candidates**

Retention: 1 year after elected candidate leaves office [CRS 1-45-112(1)(b)]

### **2. Unsuccessful Candidates**

Retention: 1 year from date of filing [CRS 1-45-112(1)(b)]

### **B. Independent Expenditures**

Statements required for persons making independent expenditures in support of or in opposition to a candidate or to convey a political message.

Retention: 1 year from date of filing of statement [CRS 1-45-112(1)(b)]

### **C. Issues Committees**

Committee statements of organization and campaign contribution and expenditure reports.

Retention: 1 year from date of filing of report [CRS 1-45-112(1)(b)]

## **15.050 COMPLAINTS AND SUPPORTING DOCUMENTATION – H.A.V.A.**

Complaints filed under the provisions of the Help America Vote Act (H.A.V.A.); copies are retained by the local election official, who forwards the complaint to the Secretary of State.

Retention: 6 months after election or until the complaint is resolved, whichever is later [CRS 31-10-616(2), 8 CCR 1505-1, Rule 31]

## **15.060 COORDINATED ELECTION RECORDS**

Records generated for coordinated elections held in conjunction with the County. Note: Most records pertaining to coordinated elections are the responsibility of the County Clerk. Some coordinated election records are retained by the Municipal Clerk as the official record of the municipality's portion of the election.

### **A. Abstracts of Votes Cast – County Issued**

County's abstract of votes cast (certification of election results) relating to the municipal portion of the coordinated election ballot.

Retention: Permanent

### **B. Ballot Certifications**

Municipal Clerk's official certification to the County Clerk of the ballot for the municipality's portion of coordinated election ballot.

Retention: Permanent

## **15.070 ELECTION EQUIPMENT RECORDS**

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Detailed records for each component of any voting system owned and maintained by the municipality, including the manufacturer, make, model, serial number, hardware, software version or release number, date of acquisition; description of services, repairs, maintenance, upkeep and version updates; maintenance and trouble logs. [CRS 1-7-513]

Retention: Life of equipment, or 6 months after the last election for which used, whichever is later

### 15.080 ELECTION HISTORY FILES

Election history files containing permanent records of elections and summary election results.

Retention: Permanent

### 15.090 ELECTION JUDGES RECORDS

#### ***A. Appointment Records***

Written acceptance of commitment to serve, lists of judges and alternates and oaths of office.

Retention: 6 months after election [CRS 31-10-616(2)]

#### ***B. Expense Statements***

Statement of expenses of election judges and supporting documentation such as receipts.

Retention: 6 months after election and until audited [CRS 31-10-616(2)]

#### ***C. Instructions***

Written instructions issued to election judges regarding conduct of election.

Retention: 3 years

### 15.100 MAIL BALLOT ELECTION RECORDS

Records relating to mail ballot elections, including affidavits of voters requesting replacement ballots, ballots (cast, duplicated, rejected, undeliverable, unused), paper or electronic poll books, mail ballot return verification envelopes, mail ballot processing logs, voter registration lists, written TABOR comments, and other mail ballot administrative records.

Retention: 25 months after election, *except* that unused replacement ballots may be destroyed after the challenge period has expired [CRS 1-7-802]

### 15.110 MAPS – ELECTION

Maps showing precinct and ward or district designations and boundaries for municipal elections.

Retention: Permanent

### 15.120 NOMINATION RECORDS

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Records relating to nominations for elective office.

### ***A. Objections to Nomination Petitions***

Retention: 6 months after election [CRS 31-10-616(2)]

### ***B. Nomination Petitions – Successful and Unsuccessful Candidates***

Petitions for the placement of a candidate's name on a ballot and written notices of withdrawal from nomination.

Retention: 2 years [CRS 31-10-302(7)]

## **15.130 NOTICES OF ELECTION**

Copies of election notices required to be posted, published or mailed, including the "ballot issue notice" required by the State Constitution containing summaries of comments on ballot issues.

Retention: 6 months after election, *except* retain one copy permanently [CRS 31-10-616(2)]

## **15.140 OATHS AND AFFIDAVITS**

Oaths, affidavits or other sworn statements made by electors or election officials, including oaths of election workers, absentee or provisional ballot applications, oaths of watchers and substitute watchers and similar documents.

Retention: 6 months after election [CRS 31-10-616(2)]

## **15.150 PETITIONS – BALLOT MEASURES AND RECALL**

### ***A. Annexation and Deannexation Election Petitions***

Petitions, whether determined to be sufficient or insufficient, for the conduct of an election to determine whether property should be annexed. [CRS 31-12-107]

Retention: Permanent

### ***B. Initiative Petitions and Supporting Documentation***

Petitions, whether determined to be sufficient or insufficient, submitted by citizens to place measures, including proposed ordinances and charter amendments, on the ballot; supporting documentation includes petition certification and verification records and documentation of protest hearings and findings by the municipal clerk.

Retention: 3 years after submission or after all rights to appeal have ended, *except* retain one copy of representative pages permanently for historical purposes [CRS 31-11-117]

### ***C. Recall Petitions and Supporting Documentation***

Petitions, whether determined to be sufficient or insufficient, submitted by citizens demanding the removal of an elected official from office; supporting documentation

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includes petition certification and verification records and documentation of protest hearings and findings by the municipal clerk. [CRS 31-4-503]

Retention: 3 years after submission, *except* retain one copy of representative pages permanently for historical purposes

### ***D. Referendum Petitions and Supporting Documentation***

Petitions, whether determined to be sufficient or insufficient, submitted by citizens requesting that legislation previously adopted by the governing body be repealed or placed on a ballot; supporting documentation includes petition certification and verification records and documentation of protest hearings and findings by the municipal clerk.

Retention: 3 years after submission, *except* retain one copy of representative pages permanently for historical purposes [CRS 31-11-117]

## **15.160 POLLING RECORDS**

### ***A. Poll Books***

A list kept by election judges of electors casting votes at an election.

Retention: 3 years

### ***B. Poll Lists***

Lists of registered electors provided to election judges for use in verifying voter registrations at polling places.

Retention: 6 months after election [CRS 31-10-616(2)]

### ***C. Poll Site Records***

Documentation of selection of site and arrangements for use as a polling place.

Retention: 6 months after election, *except* retain contact information and summary of problems until after the next election or after any complaint is resolved [CRS 31-10-616(2)]

### ***D. Voter Signature Forms***

Forms signed by voters at the polls to establish identity and request a ballot.

Retention: 45 days after election if there is no challenge [CRS 31-10-606(3)]

## **15.170 RECEIPTS AND ACCOUNTING FORMS**

Documentation of the receipt and transfer of ballots and other election material.

Retention: 6 months after election [CRS 31-10-616(2)]

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### 15.180 SURVEILLANCE RECORDINGS – ELECTION AREAS

Video or audio recordings of election operations in secured areas, such as ballot receipt, tabulation, handling and processing areas.

Retention: 6 months after election [CRS 31-10-616(2)]

### 15.190 TABULATION AND ELECTION CERTIFICATION RECORDS

#### ***A. Official Abstract***

Official certification of the election results prepared by the municipal clerk or canvass board after the completion of the official canvass.

Retention: Permanent [8 CCR 1505-1, Rule 41.7]

#### ***B. Tabulation Test Results***

Records of testing of the tabulation equipment prior to and after the machine tabulation of ballots.

Retention: 6 months after election [CRS 31-10-616(2)]

#### ***C. Unofficial Election Results Records***

Summary election results for the precinct posted by election judges, unofficial or preliminary election results issued by the tabulation center, certificates of election judges showing votes cast for candidate by office, worksheets for judges to tally votes, and similar records giving unofficial election results (if used).

Retention: 6 months after election [CRS 31-10-616(2)]

#### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

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### SCHEDULE NO. 25

#### ENVIRONMENTAL RECORDS

General Description: Records relating to compliance with environmental protection requirements.

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#### 25.010 ENVIRONMENTAL MONITORING AND REVIEW

Records pertaining to monitoring, inspections, investigations, surveys, screenings, testing and similar activities relating to land uses and activities that could potentially impact air quality, water supply and the environment, such as feedlot operations, industrial contamination and pollution, mosquito control programs, gravel pit and mined land reclamation, oil and gas well drilling, sludge application by other jurisdictions, landfills of other jurisdictions, uranium mining, etc.

Retention: Permanent

#### 25.020 HAZARDOUS WASTE STORAGE AND TRANSPORT RECORDS

##### ***A. Disposal Manifests Retained by Hazardous Waste Generator***

Retention: 3 years from date waste was accepted by initial transporter [40 CFR 262.40(a), CRS 25-5-510, 6 CCR 1007.3 Subpart D]

##### ***B. Inspections***

Retention: 5 years from date of inspection

##### ***C. Reports***

Reports, including CDPHE-EPA biennial report form 8700-13A for off-site shipments of hazardous wastes, and reports of on-site treatment, storage or disposal of hazardous wastes.

Retention: 3 years from due date of report [40 CFR 262.40(b), CRS 25-5-510, 6 CCR 1007.3 Subpart D]

##### ***D. Test Results and Waste Analyses***

Retention: 3 years from date waste was last sent to on-site or off-site treatment, storage and disposal [40 CFR 262.40(c), 6 CCR 1007.3 Subpart D]

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### 25.030 MATERIAL SAFETY DATA SHEETS (MSDS)

Employers must have a MSDS on file for each hazardous chemical they receive and use and ensure copies are readily accessible to employees in their work area. Employer must keep records of chemicals used, where they were used and for how long. [General Reference: 29 CFR 1910.1200]

Retention: Until superseded or 2 years after chemical is disposed of or consumed, provided that employer retains some record of identity (chemical name if known) of substance or agent, where it was used, and when it was used, for at least 30 years [29 CFR 1910.1020(d)(ii)(B)]

### 25.040 S.A.R.A. TIER II REPORTS – SUBMITTING FACILITY'S COPY

S.A.R.A Title III (EPCRA) Tier II emergency and hazardous chemical inventory forms submitted annually, or within 90 days of exceeding the EPCRA threshold, to the Colorado Department of Public Health and Environment (CDPHE) and the local fire department by municipal facilities that use or store chemicals requiring a material safety data sheet in volumes exceeding the threshold amount. This report serves as a record of chemicals used, where they were used and how long they were used. Note: S.A.R.A. refers to the Superfund Amendments Reauthorization Act.

Retention: 30 years [29 CFR 1910.1020(d)(ii)(B)]

### 25.050 STORAGE TANKS – REGULATED SUBSTANCES

Records related to aboveground and underground storage of regulated substances such as gasoline, crude oil, fuel oil and diesel oil, including permits, applications, site information, emission inspections, monitoring, spills and cleanups, testing, upgrade installations, reports of financial condition required by CDPHE, proof of insurance coverage and financial responsibility, revocations, etc. [General Reference: 7 CCR 1101-14]

#### ***A. Approved Permits and Supporting Documentation***

Retention: 6 years after removal of tank

#### ***B. Denied Permits and Supporting Documentation***

Retention: 3 years after denial

### 25.060 TOXIC SITES

Records related to the identification and designation of sites that may have toxic contamination.

Retention: Permanent

#### **Cross References**

- Chemical application records – 95.050.A, Chemical Application Records
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Hazardous materials exposure - 90.070, Employee Records – Active and Terminated; 90.110.B, Employee Medical Records in
- General
- Policies and procedures – 40.220, Policies and Procedures Documentation

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- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- S.A.R.A. Tier II Reports – Fire Department's Copy – 100.060.B, S.A.R.A. Tier II Reports – Fire Department's Copies
- Water and sewage treatment – 60.090, Water and Sewer Treatment System Records

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### SCHEDULE NO. 30

#### FINANCIAL RECORDS

General Description: Records documenting and ensuring accountability for the receipt and expenditure of public funds.

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#### **30.010 ACCOUNTS PAYABLE (A/P) RECORDS**

Records documenting outgoing payments.

##### ***A. Accounts Payable Records in General***

A/P records including but not limited to automatic clearinghouse (ACH) forms, A/P balance sheets, copies of bills paid, checks issued (including check registers), invoices and statements, receiving reports, vendor files, expense and reimbursement request documentation, charge slips, credit card statements, and reports to the governing body listing bills to be paid.

Retention: 7 years

##### ***B. Credit Card Records***

Records of credit cards issued for municipal use.

Retention: 2 years after cancellation

##### ***C. Forms 1099 and W-9***

Forms for tracking taxpayer information for vendors when the charges for services exceed \$600 for the year.

Retention: 4 years

##### ***D. Petty Cash Records***

Records of petty cash fund account and requests for petty cash for various purposes.

Retention: 2 years

#### **30.020 ACCOUNTS RECEIVABLE (A/R) RECORDS**

Records of collection of monies; includes but is not limited to automatic clearinghouse (ACH) forms; on-line payments, cash books, journals, receipts, reports and supporting documentation;

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finances, fees and charges receipts, other payments and supporting documentation; accounts receivable balance sheets; cash register validation tapes; statements and invoices issued by the municipality, etc. See also 30.210, *Utility Billing*.

Retention: 3 years

### 30.030 ASSET RECORDS

Inventories and listings to track and control assets.

#### **A. Annual Fixed Asset Reports**

Worksheets listing fixed assets, purchases and disposition of assets.

Retention: Until superseded

#### **B. Disposition Records**

Records of disposal of surplus property (except real estate) and unclaimed, abandoned or confiscated property such as bicycles and vehicles by auction, competitive bidding or destruction, including date, department name, description of item, value, disposition, method and reason for disposition, condition, value and approvals.

Retention: 3 years after disposition

#### **C. Inventories**

Listings of expendable and nonexpendable property and assets, including buildings, real estate, vehicles, furniture, equipment, supplies, merchandise for sale at municipally operated concessions or gift shops and other assets; may include description, cost, date purchased, location, name of vendor and depreciation detail.

Retention: Until superseded

### 30.040 AUDIT RECORDS

Records documenting external and internal audits of the financial position of the municipality.

#### **A. Audit Reports**

Annual or special reports prepared by external or internal auditors examining and verifying financial activities. [General Reference: CRS 29-1-606]

Retention: Permanent

#### **B. Audit Work Papers**

Documentation consisting of routine correspondence with auditors and copies of records compiled for the audit.

Retention: 3 years after completion of audit

### 30.050 BANK RECORDS

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Records documenting the current status and transaction activity of funds held at banks.

### **A. Bank Records – Routine**

Routine banking records, including but not limited to duplicate copies of checks, check stubs, voided checks, deposit slips and trial balances. See also 30.010, *Accounts Payable (A/P) Records* for checks and check registers, and 30.140.A, *Investment Instruments* for CDs, money market certificates, etc.

Retention: 3 years

### **B. Bank Statements, Pass Books and Reconciliations**

Monthly statements pass books or reconciliations showing funds on deposit.

Retention: 7 years

## **30.060 BANKRUPTCY AND FORECLOSURE RECORDS**

Records documenting bankruptcies and foreclosures in which the municipality has some kind of a financial interest due to liens, unpaid assessments, unpaid fees or bills, etc.

Retention: 7 years after recovery of money owed or when municipality has no further interest in the proceeding

## **30.070 BOND ISSUE RECORDS**

### **A. Bond Issue Files**

Records that document the authorization to finance improvements through bonded indebtedness, including bond anticipation notes, industrial development revenue bonds, general obligation bonds, revenue and refunding bonds, water bonds and special improvement bonds; includes correspondence, authorizations supporting financial arrangements, bond ratings, contracts or sales agreements, and sample copies or specimens of bonds.

Retention: 2 years after final payment

### **B. Bond Issue Proceedings Books**

Certified record of proceedings relating to a bond issue, containing specimen (usually original) documents in book form.

Retention: Permanent

### **C. Bonds, Notes and Coupons Paid**

Canceled or redeemed bonds and coupons received from paying agents throughout the lifetime of the bond issue; cancelled upon receipt.

Retention: 1 year after maturity

### **D. Bond Registers and Ledgers**

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Used to document the redemption of coupons for bonds. Note: Bond registration and redemption transactions may be handled by a bond registration or paying agent.

Retention: Permanent

### 30.080 BUDGET RECORDS

#### ***A. Budget Document***

Final financial plan approved by the governing body for expenditures and records of significant interim revisions made after budget adoption.

Retention: Permanent for final version and 1 year after adoption of the final budget for any preliminary versions

#### ***B. Budget Work Records***

Departmental budget requests or proposals, reports, budget instructions, worksheets, financial projections and similar records used in the budget preparation and decisionmaking process.

Retention: 2 years

### 30.090 FEE AND RATE SCHEDULES AND SUPPORTING DOCUMENTATION

Fee, charge, fine and rate schedules (not including utility rate schedules) and supporting documentation justifying the determination of amounts; i.e., calculations, methodology for establishing comparisons with other municipalities, projections of revenue based on recommended amounts, etc. See also *30.210.C, Rate Schedules and Supporting Documentation – Utility Billing*.

Retention: 2 years after revised

### 30.100 FINANCIAL GUARANTEES

Records relating to escrow accounts, letters of credit, liens, promissory notes and other forms of financial guarantee required to ensure performance, payments or the completion of certain specified actions, such as the completion of projects, required improvements or the payment of delinquent bills or assessments.

Retention: 1 year after expiration, completion of guaranteed action or release

### 30.110 FRANCHISE RECORDS

Records pertaining to the award, operation or termination of a license or franchise granting the right or privilege to construct, operate or maintain upon, over, under or across the streets or alleys a street railway, electric light plant or system, gasworks, gas plant or system, geothermal system, solar energy system, communication or cable television system, or other similar services and the collection of franchise fees or occupation taxes from franchise holders. [General Reference: CRS 31-32-101]

Retention: 6 years after expiration of franchise and completion of all terms and conditions of the franchise, *except* retain register or other listings of franchises permanently

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### 30.120 GRANT RECORDS

Files pertaining to applications for grants and the administration, monitoring and status of grants.

#### *A. Grants From Municipality*

##### *1. Awarded Grants and Supporting Documentation*

Documentation of awarded grants, including grant application, grant contracts and agreements, grant reports and other supporting documentation.

Retention: Duration of grant + 6 years

##### *2. Rejected Grants and Supporting Documentation*

Documentation of grants that are either rejected by the grantee or not awarded.

Retention: 2 years after rejection or withdrawal

#### *B. Grants to Municipality*

##### *1. Awarded Grants*

Documentation of awarded grants, including grant application, grant contracts and agreements, grant reports and other supporting documentation.

Retention: Duration of grant + 6 years unless longer retention period is required by grantor

##### *2. Rejected Grants*

Documentation of grants applied for and either rejected by the grantor or not accepted.

Retention: 2 years after rejection or withdrawal

### 30.130 IMPROVEMENT DISTRICT RECORDS

Records relating to the creation, assessment and operation of general or special improvement districts established for the purpose of making improvements.

Retention: 7 years after improvement district is terminated or all bonds are paid or cancelled, whichever is later

### 30.140 INVESTMENT RECORDS

Records documenting investments.

#### *A. Investment Instruments*

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Documentation of certificates of deposit, money market certificates, savings bonds, stocks and bonds, treasury bills and notes and other investments made.

Retention: 7 years after maturity, final payment or disposition

### ***B. Reports – Investment of Funds***

Retention: 7 years, provided that audit has been completed

### **30.150 LEDGERS AND JOURNALS**

#### ***A. General Ledger***

Year-end summary of receipts and disbursements by account and fund reflecting general financial condition. May include documentation from subsidiary ledgers to general ledger and accounting adjustments in the form of general entries.

Retention: 30 years

#### ***B. Journal Entries***

Retention: 7 years

#### ***C. Subsidiary Ledgers and Journals***

Daily, monthly, quarterly or year-end transaction detail providing backup documentation to general ledger.

Retention: 3 years

### **30.160 LOAN RECORDS**

Records of loans to which the municipality is a party.

#### ***A. Loans Made by Municipality***

Records of loans made to employees or other parties for various purposes; includes loan applications, deeds of trust, promissory notes and other loan paperwork. Examples of loans: employee housing, employee computer purchases, energy assistance housing rehabilitation, etc.

##### ***1. Approved Loans***

Retention: 7 years after loan is paid

##### ***2. Rejected or Withdrawn Loans***

Retention: 2 years after rejection or withdrawal

#### ***B. Loans to the Municipality***

Loans made to finance public improvements or to meet other financial obligations.

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### **1. *Approved Loans***

Retention: 7 years after loan is paid or as specified by lending agency

### **2. *Rejected or Withdrawn Loans***

Retention: 2 years after rejection or withdrawal

## **30.170 PURCHASING RECORDS**

Records pertaining to procurement of services or commodities.

### **A. *Purchasing Records in General***

Purchasing control forms, such as purchase orders, purchase requisitions, field purchase orders, vouchers, signature authorizations, etc.; and competitive bid specifications and solicitations, such as requests for proposals or quotations; and similar records.

Retention: 7 years

### **B. *Bids***

Bids, quotes and proposals regarding services and commodities.

#### **1. *Accepted Bids***

Received from successful bidders.

Retention: 7 years after acceptance of bid

#### **2. *Rejected/Unsuccessful Bids***

Received from unsuccessful bidders.

Retention: 3 years after contract is awarded or PO is issued

#### **3. *Unsolicited Bids***

Received from bidders without solicitation.

Retention: 1 year after submission

### **C. *Vendor Lists***

Listings of vendors, including state bid lists, providing goods and services, usually including names, addresses, phone numbers, description of goods or services provided.

Retention: Until superseded or obsolete

### **D. *Vendor Prequalification Records***

Records relating to prequalification of vendors eligible to provide goods and services.

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Retention: 3 years

### 30.180 REBATE PROGRAM RECORDS

Records relating to rebate programs; includes rebate applications, correspondence, and other supporting documentation.

Retention: 2 years after rebate is paid, provided that records have been audited

### 30.190 TAX COLLECTION RECORDS

#### ***A. Colorado Department of Revenue Monthly Revenue Distribution Report***

Report includes account number, name, jurisdiction, filing period, source, tax, penalty, interest, distribution and Department of Revenue interest/days.

Retention: 2 years after completion of audit

#### ***B. County Treasurer's Reports***

Periodic reports of the County Treasurer regarding taxes collected on behalf of the municipality, interest and fees.

Retention: 3 years

#### ***C. Property Tax Records***

Records pertaining to the property tax assessment, including mill levy certifications to the County, notices of assessed valuation, abstracts of assessment and registers or listings of property tax assessed.

Retention: Permanent

#### ***D. Real Estate Transfer Tax Records***

Retention: Follow sales and use tax records retention schedule

#### ***E. Sales and Use Tax Records***

Records of the collection and administration of sales and use tax.

##### ***1. Applications, Returns and Audits – Taxpayers***

Retention: 3 years after taxpayer ceases to file sales and use tax returns, after settlement for delinquent taxes, or after completion of audit, whichever is later

##### ***2. Delinquent Sales/Use Tax Notices***

Retention: 6 years

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### ***3. Motor Vehicle Sales Tax Receipts***

Retention: 3 years

### ***4. Transaction Journal/Log***

Record of sales and use tax daily transactions.

Retention: 3 years

## **30.200 TAX REPORTING RECORDS**

### ***A. Forms 1098 – Mortgage Interest Statements***

Used to report mortgage interest of \$600 or more received from any individual during the year.

Retention: 3 years

### ***B. Forms 1099R – Reports of Distributions***

Used to report distributions from pensions, annuities, retirement or profit-sharing plans, IRAs, insurance contracts (survivor income benefit plans, permanent and total disability payments under life insurance contracts), etc., for each person receiving a distribution of \$10 or more.

Retention: 3 years

## **30.210 UTILITY BILLING RECORDS**

Records relating to the billing of customers for utility services.

### ***A. Account Records***

Records of individual customer accounts, including new service orders, trouble orders, billing statements or invoices, adjustments made to accounts, nonpayment billing notices, turn-off orders, security deposit payment and refund records, meter deposit receipts, meter reading exception reports, meter orders and other account records.

Retention: 3 years after account closed or after account is transferred to another customer

### ***B. Meter Records***

Records relating to installation or removal of utility service meters and meter readings for utility service.

#### ***1. Meter Books, Data or Sheets***

Used to record readings of customer's utility usage for billing purposes and to make data comparisons.

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Retention: 3 years [18 CFR 125.3 31; maximum demand and demand meter record cards must be retained for 1 year]

### **2. Meter Location Records**

Retention: Until updated

### **C. Rate Schedules and Supporting Documentation – Utility Billing**

Fee and rate schedules and supporting documentation justifying the determination of public utility fees and rates; i.e., calculations, methodology for establishing the fee or rate, comparisons with other municipalities, projections of revenue based on recommended fees or rates, etc.

Retention: 6 years after published rate sheets and schedules are superseded or no longer used to charge for utility services [18 CFR 125.3 30]

### **Cross References**

1. Affidavits of publications – 40.020, Affidavits of Publication
2. Agreements and contracts – 40.030, Agreements and Contracts
3. Bonds – 90.040, Bonds – Public Officials
4. Cemetery financial records – 10.030, Cemetery Financial Records
5. Correspondence and general documentation – 40.100, Correspondence and General Documentation
6. Employee insurance claims – 90.030.C, Employee Insurance Claim Records
7. Insurance records – 105.010, Insurance Records
8. Licenses and permits – Schedule 75, Licenses and Permits
9. Meter calibration, maintenance and testing – 35.010, Equipment Records – In General
10. Payroll records - 90.140, Payroll Records
11. Policies and procedures – 40.220, Policies and Procedures Documentation
12. Property acquisition and sale – 95.010, Acquisition Records
13. Reports – 40.290, Reports
14. Rules, regulations and standards – 40.310, Rules, Regulations and Standards
15. Worksheets – 40.350, Worksheets, Drafts and Other Preliminary Working Material

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### SCHEDULE NO. 35

#### FLEET AND EQUIPMENT RECORDS

General Description: Records documenting the operation of vehicles and equipment.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 35.010 EQUIPMENT RECORDS IN GENERAL

Records pertaining to all types of equipment, mechanisms and systems and their maintenance, inspection and repair history, including fire and water detection alarm systems; heating, ventilation, air conditioning (HVAC) systems; disaster warning systems; elevators; sump pumps; power generators; boilers; measuring and weighing devices; tools; office equipment, recording systems; etc. Documentation includes warranties, operating manuals, calibration and testing records, inspections, vehicle registration certificates, titles, bills of sale, etc.

Retention: Until equipment is no longer under municipal control or life of equipment + 1 year and/or after audit, unless another retention period is required by law or specified elsewhere in this Retention Schedule

#### 35.020 FUEL USE RECORDS

Records pertaining to fuel usage, including periodic fuel usage reports.

Retention: 2 years

#### 35.030 MAINTENANCE AND SAFETY RECORDS – VEHICLES AND EQUIPMENT

##### ***A. Driver Vehicle Inspection Reports***

Vehicle inspection reports and documentation of corrective actions taken to address defects or deficiencies noted during the inspection done by the driver prior to each operation of a commercial motor vehicle. Note: A legible copy of the last vehicle inspection report is to be carried in the vehicle.

Retention: 3 months [49 CFR 396.11]

##### ***B. Inspection and Maintenance Documentation***

Records pertaining to maintenance and inspections performed for vehicles and equipment, including those records required by State and federal regulations; includes manufacturer issued manuals and warranties, inspection reports, vehicle maintenance histories and work orders providing the only available vehicle history. [General Reference: 49 CFR 396.21 requires annual inspection reports of commercial motor

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vehicles to be retained for 14 months after the inspection where the vehicle is housed or maintained.]

Retention: Until vehicle or equipment is no longer under municipal control or life of vehicle or equipment + 1 year

### ***C. Work Orders***

Documentation of requests and authorizations for vehicle and equipment work.

Retention: 2 years, unless work order provides the only available vehicle history, in which case it should be retained for life of vehicle or equipment + 1 year

### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Auction records – 30.030.B, Disposition Records
- Communication systems – 55.010, Communication Systems Records
- Computer systems – 55.020, Computer System Records
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Fire department apparatus – 100.050.B, Apparatus Inspection Records
- Insurance – 105.010, Insurance Records
- Inventories – 30.030.C, Inventories
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Purchasing – 30.170, Purchasing Records
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

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### SCHEDULE NO. 40

#### GENERAL ADMINISTRATIVE RECORDS

General Description: This schedule addresses common records that are found across the organization, such as correspondence, agreements and contracts or project records.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 40.010 ADMINISTRATIVE PROCEEDINGS RECORDS

Records of formal administrative proceedings conducted by staff or an administrative hearing officer (possibly subject to appeal to the governing body or the courts) to make administrative rulings or determinations regarding a variety of matters (examples: sales tax exemptions, nuisance abatements, stormwater appeals, minor personnel matters not otherwise covered by the retention manual).

Retention: 3 years after proceeding concludes, provided that all rights of appeal have expired

#### 40.020 AFFIDAVITS OF PUBLICATION

Proof of publication provided by newspapers regarding legal publications. Affidavits of publication are also sometimes known as "legals" or "proofs."

##### ***A. Affidavits of Publication – Ordinances***

Affidavits of publication of ordinances of a general or permanent nature and those imposing any fine, penalty or forfeiture.

Retention: 6 years or until ordinance is repealed or reenacted, whichever is later

##### ***B. Other Affidavits of Publication***

Affidavits of publication other than those relating to ordinances.

Retention: 6 years

#### 40.030 AGREEMENTS AND CONTRACTS

Agreements and contracts of various kinds that document some form of agreement that is enforceable by law, including but not limited to intergovernmental agreements, memoranda of understanding, franchise agreements, lease agreements, professional services agreements, etc. See also 40.230.A, *Activities and Events – Short-Term Agreements, Contracts and Supporting Documentation.*

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Retention: 6 years after expiration, fulfillment of all terms of agreement or contract or resolution of any disputes, whichever is later, provided that audit has been completed and agreement or contract no longer has any binding effect; *except* prior to destruction, evaluate for continuing legal, administrative or historical value

### 40.040 AWARDS AND HONORS

Awards and honors received from various public or private sources.

Retention: Until no longer useful

### 40.050 CALENDARS

Records for routine planning and scheduling of meetings, appointments and similar activities; includes calendars, appointment books, diaries and similar records with routine content.

Retention: Until no longer needed for reference

### 40.060 CHARTERS AND SUPPORTING DOCUMENTATION

#### *A. Charter Proceedings*

Records relating to the adoption, amendment or repeal of Home Rule Charters or provisions of the Charter, including records of Charter conventions and not including Charter initiative petitions.

Retention: Permanent

#### *B. Charters – Published*

Governing documents for Home Rule Municipalities published separately or as part of the municipal code book.

Retention: Permanent [**Important Note:** Charters are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

### 40.070 CODE BOOK RECORDS

#### *A. Codes Adopted by Reference*

Includes model traffic code, uniform and international building and construction codes, fire codes and supplements to such codes, and other similar codes adopted by ordinance.

Retention: Permanent

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### ***B. Codifications/Supplements***

All compilations of ordinances codified into a Municipal Code book and all supplements containing amendments to the initially adopted Code.

Retention: Permanent

### **40.080 COMMITTEES – INTERNAL**

Records of committees, task forces or similar groups composed of members of the staff that meet on an ongoing basis or that are set up for specific purposes. Examples include management teams, technology teams, policy teams, employee safety committees, budget strategy teams, etc.

#### ***A. Ongoing Committees***

Retention: 3 years, provided that records have no enduring value

#### ***B. Special Committees***

Retention: Until work of committee concludes, provided that records have no enduring value

### **40.090 COMPLAINTS, ROUTINE SERVICE REQUESTS AND NONBINDING PETITIONS**

Communications that convey objections, dissatisfaction or disagreement with actions or positions taken or not taken; routine requests for service or information; and petitions with no legal effect that are submitted to express the opinions of the signers.

Retention: 2 years after response or action or 2 years if no response or action is required

### **40.100 CORRESPONDENCE AND GENERAL DOCUMENTATION**

*Correspondence* is a written communication that is sent or received via the U.S. mail, private courier, facsimile transmission or electronic mail, including letters, postcards, memoranda, notes, telecommunications and any other form of written communications. The term *general documentation* is intended to cover a wide variety of records created in the normal course of business.

#### ***A. Enduring Long-Term Value***

Documentation or correspondence, including e-mail messages, with lasting long-term administrative, policy, legal, fiscal, historical or research value; records that relate to policy issues and actions or activities in which an important precedent is set; records of historic events; and other similar records and documentation.

Retention: Permanent

#### ***B. Routine Value***

Routing operating documentation or correspondence with limited administrative, legal, fiscal, historical, informational or statistical value. Includes routine e-mail messages, letters or memoranda, reading or chronological files that contain duplicates of memos or letters also filed elsewhere, routine requests for information, transmittal documents, etc.

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Retention: 2 years

### ***C. Transitory Value***

General documentation or correspondence of extremely short-term value, including advertisements, drafts and worksheets, desk notes, copies of materials circulated for informational "read only" purposes, other records, including e-mail messages, with preliminary or short-term informational value.

Retention: Until material has been read

### **40.110 EVENT RECORDS**

Records pertaining to promotion and organization of special and historic community events or celebrations in which the municipality has a role, such as festivals, fairs, rodeos, 4th of July celebrations, pioneer days, holiday display lighting, etc.

Retention: 2 years after event concludes

### **40.120 EXTERNAL GROUPS AND AGENCIES**

Records such as meeting agendas and minutes, studies and reports and other material provided for courtesy or informational purposes from associations, organizations, groups and agencies that are not part of the municipal organization but which have some form of association or relationship with the municipality.

Retention: Until no longer needed

### **40.130 FORMS – BLANK**

Blank forms are not considered to be records and should be separated from the records. However, a master forms file may be maintained to track the evolution of the form and instructions regarding use of the form.

Retention: Until superseded, *except* retain 1 copy permanently if master forms file is maintained

### **40.140 HOUSEKEEPING FILES**

Records of a general housekeeping nature that do not relate directly to the primary program responsibility of the office. Includes records such as charity fund drives, office parties, copies of custodial service requests, parking space assignments, telephone and fax logs, etc.

Retention: Until no longer needed for reference

### **40.150 INTELLECTUAL PROPERTY RECORDS**

Records relating to copyrights, trademarks, service marks, seals, logos, taglines and other similar intellectual property.

Retention: Permanent

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### 40.160 LEGISLATION AND REGULATORY ACTIONS – EXTERNAL

Records such as review copies of proposed or adopted state or federal bills, legislation or regulations; notices of proposed rulemaking by federal or state agencies, etc.

Retention: Until no longer needed for reference

### 40.170 MAILING AND DISTRIBUTION RECORDS

#### ***A. Envelopes***

Envelopes that contained communications.

Retention: Dispose of immediately, unless needed as documentation of mailing and receipt dates

#### ***B. Mailing Record***

Documentation of mailing dates, content of mailings, mailing and distribution lists for specific mailings; certified or registered mail return receipts; etc.

Retention: 2 years

#### ***C. Meeting Notification Lists***

Listings of persons who, within the previous 2 years, have requested advance notification of all meetings or meetings with specific content. [CRS 24-6-402(7)]

Retention: Until updated

#### ***D. Undeliverable Mailings***

Mailings (excluding mailed ballots) returned as undeliverable.

Retention: 1 year after matter referenced in mailing is concluded

### 40.180 MAPS, DRAWINGS AND SUPPORTING DOCUMENTATION

Final versions of architectural, cartographic or other visual representations, such as maps, drawings, renderings, charts, photomaps, field survey notes, architectural and engineering drawings; "as built" drawings of facilities; plats and plans; boundary maps, zoning district maps; USGS topographical maps of the area; other similar documents; and indexes or other finding aids.

Retention: Permanent

### 40.190 MAPS – INFORMATIONAL

Maps that are acquired from external sources and are used for reference and informational purposes, such as county maps. Retention: Until superseded or no longer needed for reference

### 40.200 OPEN RECORDS REQUESTS AND SUPPORTING DOCUMENTATION

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Formal requests for records submitted in accordance with state law and supporting documentation relating to the response to or denial of the request.

Retention: 2 years after request is answered

### 40.210 ORGANIZATION FILES

Records that document the incorporation of the municipal corporation or statutory or home rule status and those that contain organization charts, reorganization studies and similar information about organizational structure or legal status.

Retention: Permanent [**Important Note:** Incorporation papers are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

### 40.220 POLICIES AND PROCEDURES DOCUMENTATION

Written directives, instructions, rules and guidelines documenting policies and procedures, including departmental or organization-wide directives or orders, policy or operations manuals, instruction manuals, handbooks and memoranda setting out responsibilities and guidelines or outlining policies and procedures.

#### ***A. Clerical or Other Routine Manuals***

Retention: 2 years after superseded or obsolete

#### ***B. Policies and Procedures and Supporting Documentation***

Documentation, including written materials such as personnel policy manuals and standard operating procedures, that have long-term value in determining current and past policies or procedures in liability cases, personnel disputes and other circumstances; includes supporting documentation relating to the development, formulation, establishment, rationale, approval and implementation of such policies and procedures.

Retention: Permanent

### 40.230 PROGRAM RECORDS

Records pertaining to program development and ongoing or special events or activities held at facilities.

#### ***A. Activities and Events – Short-Term Agreements, Contracts and Supporting Documentation***

Contracts, agreements and supporting documentation relating to entertainment, sporting events, performances, shows, displays of artwork, vendors and concessions, facility or park usage, room rentals, equipment rentals and similar activities and events that have a duration of less than one (1) year.

Retention: 2 years after activity or event, provided that audit has been completed

#### ***B. Facility and Program Use Records***

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Records relating to registration and admission to programs, annual or seasonal passes for recreational programs, program and event descriptions, etc.

Retention: 2 years after use, provided that audit has been completed

### ***C. Liability Waivers***

Forms signed by program participants to release the municipality from any liability related to various activities.

Retention: 3 years

### ***D. Incident Reports***

Reports of incidents that may happen during the course of programs, events, activities, etc., that are exceptions to the normal course of business, such as rescue, accident or injury incident reports.

Retention: 3 years

### ***E. Program Development Records***

Records with long-term value documenting the establishment, evolution and rationale for programs. Examples of "programs" include transmission line undergrounding program, neighborhood watch program, energy efficiency program, graffiti removal program, spring clean-up program, pothole patrol program, sister city program and similar coordinated activities.

Retention: Permanent

## **40.240 PROJECT FILES**

### ***A. Capital Project Files***

Records of capital projects, professional services relating to capital improvements and projects relating to the design, engineering, construction, major repair, renovation or demolition of structures, buildings, facilities, bridges, streets and roadways, utility system features, public works, parks, stormwater and storm drainage facilities, dams and reservoirs, other water projects, fiber optics and communication structures and other infrastructure. Project files may include documentation such as final project reports, specifications and contract documents, certificates of insurance, project-related permits and licenses issued by other entities, notices to proceed and of final settlement, project pay estimates, change orders and correspondence and general documentation. [General Reference: CRS 24-16-105; project cost records are to be retained for 6 years after project completion.]

Retention: 6 years after replacement, demolition or transfer of the improvement to another entity, *except* that routine material may be purged when eligible for destruction under this Retention Schedule and *except* that, prior to destruction, records must be evaluated for continuing legal, administrative or historical value

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### ***B. Project Bonds***

#### ***1. Labor and Materials Bonds***

Surety or other types of bonds received from contractors to guarantee payment by the contractor to workers, subcontractors and suppliers.

Retention: 6 years after expiration or project completion, whichever is later

#### ***2. Performance and Payment Bonds***

Surety or other types of bonds received from contractors to guarantee performance and payments for projects.

Retention: 2 years after expiration of warranty period or project completion, whichever is later

### ***C. Project Control Files***

Contain routine memoranda, preliminary reports and other general documentation and records documenting assignments and the progress of projects. Note: Does not include *final* reports, which are to be retained as part of the project file (see above).

Retention: 1 year after project is closed

## **40.250 PUBLIC RELATIONS RECORDS**

### ***A. Lobbying Records***

Records of official positions and lobbying efforts with regard to state or federal legislation or ballot measures, lobbyist registrations, municipality's written reviews, analyses or positions regarding legislation or regulations, etc.

Retention: 4 years, *except* that resolutions adopting legislative positions are permanent

### ***B. News Releases***

#### ***1. Releases – Policy or Historical Value***

Prepared statements or announcements issued to the news media announcing events, new programs, program changes or termination, major shifts in policy and changes in officials or senior administrative personnel.

Retention: Permanent

#### ***2. Releases – Routine***

Prepared statements or announcements of routine events, activities, etc.

Retention: 3 years

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### *C. Speeches and Public Comments*

Recorded speeches, addresses, and comments of public officials representing the municipality at public venues, such as state of the city addresses. Includes only those with significant historical value, in any format, including paper, videotape, motion picture or tape recordings.

Retention: Permanent

### **40.260 PUBLICATIONS**

Material that has long-term historical or research value produced for wide internal or external distribution, including annual reports, brochures, pamphlets, leaflets, newsletters, instructional materials and similar materials.

Retention: Permanent

### **40.270 RECORDS FINDING AIDS**

Manual or automated indexes, lists, registers and other finding aids designed to make it easier to locate pertinent files or information.

Retention: Life of the record for which the finding aid is designed to facilitate use and retrieval

### **40.280 REFERENCE FILES**

Non-record copies of articles, periodicals, reports, studies, vendor catalogs and similar materials that are needed for reference and information but are not considered part of the office's records.

Retention: Until no longer needed for reference

### **40.290 REPORTS**

Written reports regarding operations or activities.

#### ***A. Annual Reports***

Summary annual reports on primary activities and accomplishments for the previous year; may include statistics, narrative reports, graphs and diagrams.

Retention: Permanent

#### ***B. Daily Reports***

Reports documenting daily activities.

Retention: 2 years

#### ***C. Monthly Reports***

Reports on activities and accomplishments for the previous month.

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Retention: 2 years

### ***D. Quarterly Reports***

Reports on activities and accomplishments for the previous three months.

Retention: 3 years

### ***E. Weekly Reports***

Reports on activities and accomplishments for the previous week.

Retention: 2 years

### **40.300 RETENTION SCHEDULES AND COMPLIANCE CERTIFICATES**

Authorizations for the retention or disposition of records issued by the Colorado State Archives and certificates or other records of authorized destruction of records.

Retention: Permanent

### **40.310 RULES, REGULATIONS AND STANDARDS**

Documentation of rules, regulations, standards and similar guidelines and requirements. Examples include building regulations and standards, subdivision and zoning regulations, cemetery rules and regulations, streetscape standards, street and sidewalk construction standards, water and sewer line installation standards, mobile home standards, etc.

Retention: Permanent

### **40.320 SPECIAL DISTRICT RECORDS**

Records pertaining to water, sanitation, flood control, urban drainage, metropolitan, airport, library, museum, fire, ambulance and other special districts that provide services, including service area plans, boundary maps, service agreements, intergovernmental agreements, memoranda of understanding, other agreements and contracts, and supporting documentation.

Retention: 6 years after agreement no longer has any binding effect, then evaluate for continuing value prior to destruction

### **40.330 STUDIES, PLANS AND REPORTS**

Documents providing detailed examinations of specific topics of interest to the municipality. Examples include feasibility studies, planning and land use studies, basin plans, capital projects reports, transportation system plans, master street plans and similar documents that have long-term reference or historical value. Studies, plans and reports prepared by or on behalf of other entities, and which include information of interest to the municipality, should be evaluated for long-term reference or historical value.

Retention: Permanent

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### 40.340 SURVEYS CONDUCTED BY MUNICIPALITIES

#### *A. Compilations*

Retention: Permanent

#### *B. Survey Responses*

Retention: 2 years after compilation is complete

### 40.350 WORKSHEETS, DRAFTS AND OTHER PRELIMINARY WORKING MATERIAL

Documents such as rough notes, calculations or drafts assembled or created and used to prepare or analyze other documents; records of a preliminary or working nature which do not represent significant steps in the preparation of the final version of documents; draft or working material relating to a matter that is never completed; includes informal notes, preliminary drafts of letters, memoranda, reports, computer or printer output used to verify information entered into a computer and not considered to be a final copy, etc.

Retention: Until no longer needed

#### **Cross References**

- Electronic records – 55.040, Electronic Records in General
- Information technology projects – 55.060, Project Records – Information Technology and Communication Systems
- Licenses and permits – Schedule 75, Licenses and Permits
- Minutes – 20.060, Minutes and Supporting Documentation; 45.090, Minutes and Supporting Documentation
- News clippings – 50.050, Newspapers and News Clippings – Local; 50.080, Scrapbooks

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 45

#### GOVERNING BODY RECORDS

General Description: Records regarding the composition, operation, proceedings and enactments of the governing body (Board of Trustees, City or Town Council).

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

##### 45.010 AGENDAS AND SUPPORTING DOCUMENTATION

Listings showing date, time and locations of official meetings and agenda order of items to be discussed. Supporting documentation includes material such as agenda item summaries and documentation explaining the rationale for staff recommendations, presenting financial or background information or the history of agenda items.

Retention: Permanent

##### 45.020 APPOINTMENTS

Applications and other documentation regarding the filling of interim governing body vacancies by appointment.

Retention: 2 years after term of appointment ends

##### 45.030 BYLAWS

Documents adopted by the governing body to set out guidelines regarding operation of the governing body.

Retention: Permanent

##### 45.040 COMMITTEE RECORDS – GOVERNING BODY

Records of ongoing and ad hoc committees made up of only governing body members. Examples of committees include finance or budget committee, ethics committee, legislative affairs committee, etc.

Retention: Follow retention periods set forth for comparable records of governing body (i.e., agendas, minutes, notices of meetings, recordings, etc.)

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### 45.050 GOALS AND WORK PLANS

Formally adopted strategic plans or policy agendas.

Retention: Permanent

### 45.060 GOVERNING BODY AS ANOTHER DECISION-MAKING BODY

Records of the governing body constituted and convened as another decision-making body, such as the Board of Directors of a general improvement district, the Enterprise Board of Directors for a water or wastewater utility enterprise, a Housing Authority, an Urban Renewal Authority, etc.

Retention: Follow retention periods set forth for comparable records of governing body (i.e., agendas, minutes, notices of meetings, recordings, etc.)

### 45.070 LIST OF MEMBERS

Listings of individuals appointed or elected to the governing body or as Mayor, dates of service, last known address and similar information.

Retention: Permanent for cumulative lists; until superseded for lists of current members

### 45.080 MEMBER RECORDS

#### ***A. Conflict of Interest Disclosure Statements***

Statements of perceived conflicts of interest filed by members of the governing body.

Retention: 2 years after service ends or conflict of interest no longer exists

#### ***B. Councilmember Files***

Files documenting the service dates of members of the governing body, including appointments to various committees and bodies, resignations, facsimile signature certificates (if any), etc.

Retention: Permanent

#### ***C. Financial Disclosure Statements***

Statements of financial interest filed by members of the governing body.

Retention: 2 years after service ends

#### ***D. Oaths of Office***

Oaths of office taken and subscribed to by elected or appointed officials at the time of assuming office. [CRS 31-4-401]

Retention: 2 years after term expires

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### 45.090 MINUTES AND SUPPORTING DOCUMENTATION

Official record of the proceedings of the governing body and supporting documentation of a substantive nature such as exhibits referenced in the minutes.

Retention: Permanent, provided that routine material submitted at meetings may be destroyed after 2 years as long as summary description is included in the minutes [**Important Note:** Minutes of the governing body are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

### 45.100 NOTES TAKEN AT MEETINGS

Handwritten or other notes made at meetings to facilitate meeting follow-up or the preparation of meeting minutes.

Retention: Until meeting minutes are approved

### 45.110 NOTICES OF MEETINGS

Documentation of compliance with laws requiring posting, mailing, publication or other distribution of public notice of meetings.

Retention: 2 years

### 45.120 ORDINANCES AND SUPPORTING DOCUMENTATION

Legislative enactments of the governing body adopted to enact a local law, amend the municipal code or take other legislative actions such as annexing property, appropriating funds, vacating streets, etc.; supporting documentation includes agenda item summaries and other documentation explaining the rationale for staff recommendations or presenting financial or background information or the history of the ordinance.

Retention: Permanent

### 45.130 PROCLAMATIONS

Documents issued by the Mayor to proclaim support for municipal or community events, activities, programs or in connection with dedications or other ceremonial occasions, etc.

Retention: Permanent

### 45.140 RECORDINGS OF MEETINGS

Audio or video recordings of official meetings used to prepare minutes or transcripts of the meeting.

#### ***A. Executive Sessions***

Retention: 90 days after meeting [CRS 24-6-402(2)(d.5)(II)(E)]

#### ***B. Open Meetings***

Retention: 6 months after approval of minutes

# RECORDS MANAGEMENT MANUAL

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### *C. Study Sessions*

Retention: 6 months after meeting

#### **45.150 REMOVAL FROM OFFICE – INITIATED BY GOVERNING BODY**

Records of removal of members from office for cause by majority vote of the governing body, including hearing notices, correspondence, transcripts of proceedings, findings and records relating to any follow-up proceedings. [CRS 31-4-307]

Retention: 3 years after removal vote, provided that findings are recorded in the minutes

#### **45.160 RESOLUTIONS AND SUPPORTING DOCUMENTATION**

Enactments of the governing body which are not legislative in nature and which may be used for various types of approvals, policy statements, statements of position and similar actions; supporting documentation includes agenda item summaries and other documentation explaining the rationale for staff recommendations or presenting financial or background information or the history of the resolution.

Retention: Permanent

#### **Cross References**

- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 50

#### HISTORIC PRESERVATION RECORDS

General Description: Records that have historical importance as documentation and evidence of the origins and evolution of the municipality and community and records that have value beyond their original reasons for creation. Note: Contact State Archives for assistance in historical records appraisal.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

##### 50.010 ARCHAEOLOGICAL AND HISTORICAL SITE RECORDS

Records relating to archaeological and historical sites.

Retention: Permanent [**Important Note:** The State Archives recommends that the "record" copy of historical records be retained in paper format.]

##### 50.020 COMMUNITY AND MUNICIPAL HISTORIES

Narrative histories of the municipality and community prepared for reference and informational purposes.

Retention: Permanent [**Important Note:** The State Archives recommends that the "record" copy of historical records be retained in paper format.]

##### 50.030 COMMUNITY RECORDS

Significant historical records (often fragmentary) of early community groups, businesses and prominent individuals.

Retention: Permanent [**Important Note:** The State Archives recommends that the "record" copy of historical records be retained in paper format.]

##### 50.040 LANDMARK AND HISTORIC DESIGNATION

Records relating to local, state or federal historic designations for buildings, structures or districts and preservation of historic structures. Includes records relating to approved state tax credits for historic properties, historical structure or district surveys, historical designation applications whether approved or not approved, historic designation research files, drawings, etc.

Retention: Permanent

##### 50.050 NEWSPAPERS AND NEWS CLIPPINGS – LOCAL

Newspapers or news clippings that have been preserved for reference or informational purposes.

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Retention: Not considered to be a record; however, older collections of local newspapers or news clippings may have historical interest to Colorado Historical Society, local historical society or other historic preservation groups

### 50.060 PHOTOGRAPHIC RECORDS WITH HISTORICAL VALUE

Photographs, negatives, prints, digital images, slides, archival slide shows with sound tracks, videos and motion pictures of historical interest.

Retention: Permanent [**Important Note:** The State Archives recommends that the "record" copy of historical records be retained in the original format.]

### 50.070 RECORDS OLDER THAN 1900

Municipal (or other) records of any type dated prior to 1900 that may have historical or archival value.

Retention: Permanent if determined to have historical or archival value [**Important Note:** The State Archives recommends that the "record" copy of historical records be retained in paper format.]

### 50.080 SCRAPBOOKS

Collections of photographs, newspaper clippings and other items pertaining to the municipality in a scrapbook or album.

Retention: Permanent [**Important Note:** The State Archives recommends that the "record" copy of historical records be retained in paper format.]

### Cross References

- Agreements and contracts – 40.030, Agreements and Contracts
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 55

#### INFORMATION TECHNOLOGY AND COMMUNICATION SYSTEMS RECORDS

General Description: Records relating to computer, information technology and communication systems operations.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 55.010 COMMUNICATION SYSTEMS RECORDS

Records relating to telephone, radio transmission, pager and other communication systems.

##### ***A. Call Detail and Telephone Usage Records***

Records of outgoing calls.

Retention: 2 years or until system capacity is exceeded

##### ***B. Communication Sites Records***

Records of sites used for installation of communication system infrastructure such as communication towers.

Retention: Until site is no longer under municipal jurisdiction or no longer serves a communication system purpose

##### ***C. Licenses – Communication Systems***

Licenses issued by the Federal Communications Commission (FCC) or other agencies for television or radio system and other communication system operations and supporting documentation.

Retention: 1 year after expiration of license

##### ***D. System Management Records – Communication Systems***

Relating to creation, modification and disposition of communication systems, including: acquisition and installation records, equipment records, FCC records, maintenance contracts (copies), repair order forms, service orders, system planning records, etc.

Retention: Life of system + 1 year

##### ***E. User Data – Communication Systems***

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Includes the following types of electronic data: cap codes, electronic records of users, extension and pager numbers, service providers, VOIP user records, etc.

Retention: Until superseded

### 55.020 COMPUTER SYSTEM RECORDS

Records pertaining to the installation and operation of computer systems and software.

#### ***A. Access Control and Security Records***

Records required to establish and maintain computer security, including: access requests, authorizations, encryption keys, journals, password documentation, reports, system access logs and other access control records.

##### ***1. System Access Logs***

Retention: 6 months

##### ***2. All Other Access Control/Security Records***

Retention: Delete when no longer administratively useful

#### ***B. Computer Audit Reports***

Completed to determine compliance with policies relating to software and electronic records management.

Retention: Until subsequent audit is completed

#### ***C. Computer Backup Records***

##### ***1. Computer Backup Documentation***

Documentation related to how and when regular computer records backups are completed.

Retention: 1 year after superseded or obsolete

##### ***2. Computer Contingency Backups***

Records recorded on electronic media consisting of copies of programs or instructions necessary to retrieve copied information and data identical in physical format to a master file or database and retained in case the master file or database is damaged or inadvertently erased.

Retention: Retain off-site until replaced or superseded

#### ***D. Computer Hardware and Software Documentation***

Written documentation necessary to operate computer equipment or programs and to access or retrieve stored information or data. Documentation may be in paper or

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electronic formats and may include: application bluebooks, flowcharts, hardware specifications, maintenance requirements, operation and user manuals, system change records, license agreements (copies), "gold" copies of software, records of rights to use customized software, source codes, etc.

Retention: Until computer equipment or software is no longer used or needed to retrieve or store data

### ***E. Computer System Maintenance Records***

Documentation of maintenance of computer systems and components needed to ensure compliance with warranties or service contracts, schedule regular maintenance and diagnose system or component problems. Includes: component maintenance records, computer equipment inventories, failure logs, hardware performance reports, invoices (copies), maintenance contracts (copies), warranties, etc.

Retention: Life of system or component + 1 year

### ***F. Computer System Program Records***

Documentation pertaining to development, installation, modification, troubleshooting, operation and removal of software from computer systems; records required to plan, develop, operate, maintain and use electronic records; and technical specifications, file specifications, code books, record layouts, flowcharts, job control language, operating instructions, user guides, system overviews, output specifications, migration plans and other records pertaining to systems operations.

Retention: Until superseded or no longer needed to retrieve or read data and information that is stored electronically

### ***G. Computer System Test Records***

Electronic files or reports created in the monitoring and testing of system quality and performance, as well as related documents for the electronic files/records.

Retention: Delete or destroy when no longer administratively useful

### ***H. Network and Fiber Optics Records***

Documentation of the wiring of the computer network system, including blueprints, diagrams and drawings of layout and installations of fiber optics, computer networks, cables, computer equipment connections and similar documentation.

Retention: Until superseded

### ***I. System Usage Records***

Electronic files created to monitor system usage, including log-in files, audit trail files, costback files used to assess charges for system use, system-created or vendor-originated logs documenting various aspects of information technology systems operations.

Retention: 3 years

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## MUNICIPALITIES

### 55.030 DISASTER PREPAREDNESS AND RECOVERY PLANS – IT

Documents the protection and reestablishment of data processing services and equipment in case of a disaster; includes: checklists, emergency contact information and procedures.

Retention: Until superseded by revised plan

### 55.040 ELECTRONIC RECORDS IN GENERAL

Computer-generated and -maintained records and associated metadata in electronic formats retained for recordkeeping purposes, including the following examples: digital recordings – audio and video; e-mail messages and attachments; imaged records; databases and spreadsheets; word processing files; recorded videoconferences; digital photographs; geographic information systems datasets; and other records retained in electronic format.

#### ***A. Electronic Records (Copies) Retained Solely for Convenience***

Retention: Until no longer needed, provided that definitive or record copy of record is retained for applicable retention period

#### ***B. Electronic Records Retained for Recordkeeping Purposes***

Retention: Based on content, retain for retention period for specific type of record; i.e., electronic records have same retention periods as paper or microfilm records with same content

### 55.050 ELECTRONICALLY STORED INFORMATION (ESI) DATA MAPS

Diagrams of computer systems and associated narrative information explaining the locations and context of the information stored within the computer systems, used for electronic discovery purposes.

Retention: Until superseded

### 55.060 PROJECT RECORDS – INFORMATION TECHNOLOGY AND COMMUNICATION SYSTEMS

Project records relating to the planning, development, design, selection, acquisition, installation, modification, conversion, upgrade and replacement of communications, computer and information systems technology; project files may include: analyses, assessments, evaluations, reports and studies; copies of contracts, proposals, invoices, project bonds, purchase orders and vendor literature; correspondence and project notes; project charters, plans, planning and development records, project team and vendor meeting records; user requirements, specifications, drawings, standards, architecture and design; quality assurance testing reports, statistics and coverage requirements; issues logs; and other project records and documentation.

#### ***A. Implemented Systems***

Retention: 6 years after replacement of information system or communication infrastructure; *except* prior to destruction, evaluate for continuing legal, administrative or historical value

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### ***B. Systems not Implemented***

Retention: 3 years

### **55.070 TELEVISION SYSTEM RECORDS – MUNICIPALLY OPERATED**

#### ***A. Programming Records***

Scheduling and programming records for the television system.

Retention: 2 years, then retain until no longer needed for reference

#### ***B. Television System Records***

Records relating to the operation and maintenance of the television system technology. See also 55.010.C, *Licenses – Communication Systems*.

Retention: Life of system + 1 year

### **55.080 WEBSITE AND INTRANET RECORDS**

A group of World Wide Web or internal web pages containing hyperlinks to each other and made available online for responding to public inquiries and providing information.

#### ***A. Access Reports – Web Pages***

Reports tracking hits to the website or intranet.

Retention: 2 years

#### ***B. Development and Evolution Records – Web Pages***

Documentation of development and changes to the website or intranet web pages.

##### ***1. Web Pages and Related Scripts – Internet and Extranet – Home Pages and Indexes***

Retention: 10 years for superseded pages and 2 years for informational only pages

##### ***2. Intranet Web Pages Designed for Internal Access to Information***

Retention: Delete when no longer useful

#### ***C. Page Design Records – Web Pages***

Style guide for web page design.

Retention: Until superseded or until no longer needed for reference

# RECORDS MANAGEMENT MANUAL

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### *D. Use Tracking Logs – Website and Intranet*

Electronic logs (such as *Websense*) for tracking websites visited by internal sources.

Retention: 2 years

### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Communication tower permits – 75.020.F, Permits Issued by the Municipality in General
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Inventories – 30.030.C, Inventories
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 60

#### INFRASTRUCTURE RECORDS

General Description: Records pertaining to basic infrastructure and underlying public works services and systems.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 60.010 ELECTRIC SERVICE

Records relating to the provision of electric service. Note: NERC refers to the North American Electric Reliability Council.

##### **A. Critical Asset Records**

Lists of identified critical assets and documentation of the risk-based assessment methodology used to determine critical assets.

Retention: 2 years, in addition to records of last audit [NERC CIP-002-3]

##### **B. Dispatch and Scheduling Records**

###### **1. Daily Dispatch Logs**

Retention: 3 years [NERC IRO-004-2]

###### **2. Disturbance Records**

Records relating to outages, surges, etc.

###### **a. Disturbance Data and Audits**

Retention: 3 years [NERC PRC-018-1]

###### **b. Final Disturbance Report**

Retention: 7 years, then evaluate for continuing value

###### **3. Operating Procedures**

Written operating procedures for real-time actions to be taken during normal and emergency conditions to ensure stable and reliable operation of bulk electric system.

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

Retention: Permanent [NERC PER-001-0.1]

### **4. Special or Periodic Reports and Risk Assessment on Service Interruptions**

Retention: 3 years [NERC IRO-004-2]

### **5. System Operating Logs**

Retention: 3 years [NERC IRO-004-2]

### **C. Energy Efficiency Program Records**

Records relating to services provided to customers under energy efficiency or conservation programs; includes applications, agreements, review reports, correspondence, data collection records, spreadsheets, etc.

Retention: 4 years after expiration [18 CFR 125.3.29]

### **D. Engineering Records and Supporting Documentation**

Final as-built drawings, system schematics, shop drawings, diagrams showing layouts, designs, plans, patterns and configuration for systems and equipment; engineering studies, plans and reports; maps, diagrams, profiles, photographs, drawings and supporting documentation showing locations of utility production, transmission and distribution facilities as constructed or as proposed; soil condition reports; survey field books documenting survey methodologies and activities; topographic surveys; and similar records.

Retention: Life of facility [18 CFR 125.2, 18 CFR 125.3.21]

### **E. Maintenance Work Orders**

Cost estimates, work order sheets, summaries of expenditures on maintenance, job orders and clearances.

Retention: 5 years [18 CFR 125.3.15]

### **F. Power System Accounting and Billing Records**

#### **1. Deviation Reports – Summaries of System Changes**

Retention: 3 years [NERC IRO-004-2]

#### **2. OASIS (Open Access Same-Time Information System) Records**

##### **a. Audit Data**

Data relating to OASIS postings for available transmission capability (ATC) and total transmission capability (TTC), agreed-upon transmission service transactions, agreed-upon ancillary service transactions, denied requests for transmission service and curtailed or interrupted transactions.

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

Retention: Must be made publicly available upon request for download for 5 years from date posted, in same electronic form used when originally posted on OASIS [18 CFR 37.7(b)]

### ***b. Data Used to Calculate ATC and TTC***

Calculated for any constrained posted paths, including limiting element(s) and the cause of the limit; e.g., thermal, voltage, stability.

Retention: 6 months [18 CFR 37.6(b)(2)(ii), NERC IRO-004-2]

### ***3. Surplus Sales Records***

Retention: 3 years [NERC IRO-004-2]

### ***4. System Control and Data Acquisition (SCADA) Records***

#### ***a. Data – Hourly and One-Minute***

Retention: 4 months

#### ***b. Disturbance Records – Outages, Surges, etc.***

##### ***1) Final Disturbance Reports***

Retention: 7 years, then evaluate for continuing value

##### ***2) Preliminary Information***

Request forms, notifications, investigations, preliminary disturbance reports, etc.

Retention: Until final disturbance report is completed

##### ***3) System Disturbance History (Summary)***

Retention: Permanent

### ***G. Production Records***

#### ***1. Boiler Tube Failure Report***

Retention: 3 years [18 CFR 125.3 13.1(a)]

#### ***2. Gauge Reading Reports***

Retention: 2 years [18 CFR 125.3 13.1(f)]

#### ***3. Generation and Output Logs and Supporting Data***

Retention: 3 years [18 CFR 125.3 13.1(b)]

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### ***4. Generating High-Tension and Low-Tension Load Records***

Retention: 3 years [18 CFR 125.3 13.1(d)]

### ***5. Load Curves, Temperature Logs, Coal and Water Logs***

Retention: 3 years [18 CFR 125.3 13.1(d)(e), NERC IRO-004-2]

### ***6. Recording Implementation Charts***

Retention: 1 year [18 CFR 125.3 13.1(g)]

### ***7. Station and System Generation Reports and Clearance Logs (Steam and Other)***

Retention: 6 years [18 CFR 125.3 13.1(c)]

## ***H. Regulatory Reports***

Reports to federal and state regulatory commissions, including annual financial, operating and statistical reports.

Retention: 5 years [18 CFR 125.3 41]

## ***I. System Planning Records***

### ***1. Emergency Operations Plans and Supporting Documentation***

Emergency load reduction plans and other plans to address insufficient generating capacity, transmission system, load shedding, system restoration, mitigation of operating emergencies, training programs, restoration plans, testing of communications and other aspects of the plans, verification results for the current approved restoration plan, implementation strategies for disturbances, resynchronization data, records of participation in all requested drills, exercises or simulations, backstart resource agreements, etc.

Retention: 3 years and until completion of compliance audit [NERC EOP-001-2, NERC EOP-005-2]

### ***2. Reliability Impact Assessments, System Studies and Supporting Documentation***

System studies and assessments of new facilities and connections on the interconnected transmission systems (potential interface and other operating limits; i.e., overloaded transmission lines and transformers, voltage and stability limits) ensuring that bulk electric system can be operated reliably in anticipated normal and contingency event conditions; data needed for system studies and reliability assessments; critical facility status, load, generation, operating reserve projections, known interchange transactions, transmission data, generation data, balancing authority demand, area control error and frequency, etc.; action plans for reconfiguration of transmission system, re-dispatching of generation, reduction or curtailment of interchange transactions reducing load to return transmission loading to acceptable levels or irols.

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## MUNICIPALITIES

Retention: 3 years [NERC IRO-004-2, NERC FAC-002-1]

### **3. System Planning Studies**

Specific network impact studies performed for customers, includes listings of system planning studies posed on OASIS.

Retention: 5 years [18 CFR 37.6(b)(2)(iii), NERC FAC-002-1]

### **J. Transmission and Distribution Records**

Substation and transmission equipment and operation records, including maintenance, operation, inspection and testing records for substations and the transmission system.

#### **1. Equipment History Records**

Maintenance histories, operation, inspection and testing records for batteries, gas breakers, hot sticks and grounds, insulators, oil breakers, relays and similar equipment; includes transformer inspections, oil tests, etc.

Retention: 5 years

#### **2. Exception Reports**

Apparatus failure reports, interruption logs and reports, transmission line trouble reports, etc.

Retention: 6 years

#### **3. Lightning and Storm Data**

Retention: Until no longer needed for reference

#### **4. Meter Change-Out Reports**

Received from substation crews when they work on meters.

Retention: 3 years [NERC FAC-002-1, NERC IRO-004-2, NERC PRC-005-1]

#### **5. PCB Transformer Records**

##### **a. PCB Disposal Logs**

Retention: At least 3 years after facility ceases using or storing PCBs [40 CFR 761.180]

##### **b. PCB Spill Cleanup and Decontamination Records**

Retention: 5 years [40 CFR 761.125(b)(3)]

##### **c. PCB Transformer Inspection and Maintenance History**

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Retention: 3 years after disposal [40 CFR 761.30(a)(1)(xii)]

### **6. Pole Tower and Transformer History Records**

Retention: Life of pole, tower or transformer [Transformers: 18 CFR 125.2 14(c)]

### **7. Relay Settings for Substations**

Documentation of types, settings, input and output, substation location, etc.

Retention: Until superseded

### **8. Substation and Transmission Line Logs**

Retention: 3 years [18 CFR 125.3 14(a)]

### **9. Substation Compliance Reports**

Annual NERC reports – general inspection and operating tests.

Retention: 3 years

### **10. Switching Records (Substation)**

Retention: 3 years [NERC IRO-004-2]

### **11. System Operator's Daily Logs and Reports of Operation**

Retention: 3 years [18 CFR 125.3 14(b)]

### **12. Vegetation Management Records**

Quarterly program reports and tree trimming around transmission lines and substations.

Retention: 5 years [NERC FAC-003-1]

## **60.020 LOCATE REQUESTS**

Records of utility and infrastructure locate requests.

Retention: 90 days after locate is completed or determined to be responsibility of another jurisdiction

## **60.030 SOLID WASTE MANAGEMENT**

Records pertaining to landfills, recycling centers and solid waste management.

### **A. Dump or Trip Tickets**

Receipts for loads hauled to landfills or recycling centers.

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Retention: 3 years

### ***B. Landfill Locations***

Records documenting the locations of current and past landfills and dumps.

Retention: Permanent

### ***C. Landfill and Recycling Operations [Reserved]***

## **60.040 STORMWATER DRAINAGE SYSTEM RECORDS**

Records relating to the management of stormwater run-off and drainage, flooding and storm drainage basins.

### ***A. Basin, Floodway and Flooding Records***

Records documenting the existence of designated and recognized stormwater basins and floodways, including maps and drawings depicting locations, FEMA flood insurance rate maps and records documenting the locations, extent and levels of flooding and mitigation efforts.

Retention: Permanent

### ***B. Weather Observation Records***

Data and reports relating to weather conditions impacting the stormwater system.

Retention: Permanent for compilations and 5 years for raw data

### ***C. Wetlands Management***

Records relating to protection and management of wetlands on municipal property or rightsof- way.

Retention: Permanent for preserved wetlands or 30 years after removal and fill

## **60.050 STREET AND TRAFFIC OPERATIONS RECORDS**

Records documenting the ongoing street system and traffic flow operations.

### ***A. Asphalt Testing Records***

Records relating to asphalt testing; may include asphalt samples and analytical reports.

Retention: 5 years

### ***B. Bridge Inspections and Maintenance***

Records of bridge inspections, inventory, changes to bridges, maintenance and summary reports to the State or other agencies. [23 CFR 650.305, 23 CFR 650.311]

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## MUNICIPALITIES

Retention: 2 years after bridge is removed from service

### ***C. Event Records – Traffic Impacts***

Records documenting preparation for and implementation of traffic changes related to special events such as parades, motorcades and demonstrations, including street closures, traffic rerouting, barricades, signal timing changes and other similar variations.

Retention: 2 years after event

### ***D. High Accident Locations***

Records documenting accidents at locations that have a relatively high accident rate.

Retention: 6 years

### ***E. Naming and Renaming of Streets***

Records relating to naming and changes of names of streets and roadways.

Retention: Permanent

### ***F. Street Address Number Records***

Records pertaining to street closings, assignment and alteration of street names and house numbers, and similar records providing official control of the naming and numbering of streets and addresses.

Retention: Permanent

### ***G. Street Cleaning and Sweeping Records***

Retention: 3 years

### ***H. Street Engineering Records***

Records documenting the layout and planning of streets, intersections and sidewalks, establishment of grades, street and intersection design and alignment, benchmarks and monumentation, street and drainage problem histories and similar records of long-term significance.

Retention: Permanent

### ***I. Street System Records***

Documentation filed on or before December 31, 1953, with the State department of transportation certifying the total mileage of streets in the street system, certification of adoption and a map of the arterial street system, and documentation of subsequent changes in total mileage and arterial mileage shown in an annual report. [CRS 43-2-125 and 43-2-132]

Retention: Permanent

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## MUNICIPALITIES

### ***J. Traffic Congestion Monitoring Records***

Records relating to scheduled or random traffic counts and traffic congestion monitoring, including automated or manual traffic counts and video recordings of traffic flow.

Retention: 6 years

### ***K. Traffic Marking, Timing and Signalization Files***

Records and data documenting traffic signal timing, traffic marking and signalization and construction zone, crosswalk parking and no parking zones, snow route, speed zone and truck route designations.

Retention: 2 years after superseded

### ***L. Weather Observation Records***

Data and reports relating to weather conditions impacting street and traffic operations.

Retention: Permanent for compilations and 5 years for raw data

## **60.060 TRANSPORTATION SYSTEM RECORDS**

### ***A. Airport Operations Records [Reserved]***

### ***B. Railroad Systems Records***

Records pertaining to railroad systems, routes, regulations and rights-of-way.

Retention: Permanent

### ***C. Transportation Services Records***

Records pertaining to the overall operation of transportation systems that serve residents, such as airline, light rail, taxicab service, bus system and paratransit service; includes municipal approvals for PUC licenses, route maps and similar records relating to the operation of the service.

Retention: 6 years

## **60.070 VACATIONS – STREET, ALLEY AND RIGHT-OF-WAY**

Records pertaining to the formal abandonment or vacation of previously dedicated streets, alleys and public rights-of-way or easements.

Retention: Permanent

## **60.080 WATER AND SEWER DISTRIBUTION AND STORAGE SYSTEM RECORDS**

Records relating to the operation of the water and sewer distribution and storage systems.

### ***A. Cross-Connection Control Survey Records***

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## MUNICIPALITIES

Documentation of monitoring of potential or actual water system health hazards from pollution entering water pipes from other pipes, including address, description of protection, corrections made, etc.

Retention: 1 year after disconnection or 10 years, whichever is later

### ***B. Sewer Inspection and Testing Records***

Records of inspections and testing to locate problems and defects so that corrective measures can be taken.

#### ***1. Sewer Test Records***

Documentation of smoke, X-ray and other tests undertaken to verify hookup to main sewer lines, check condition of pipes or determine effectiveness of backflow prevention devices.

Retention: 5 years after completion of test

#### ***2. Video Inspection Records***

Records of video inspections to locate problems and defects so that corrective measures can be taken.

Retention: Until after next video inspection, then evaluate prior to destruction of records to determine ongoing value

### ***C. Tap Permits and Connection Records***

Records regarding the application for and issuance of water and sewer tap permits and connections between specific properties and the utility systems, including those for inside and outside users.

Retention: 2 years after disconnection, provided that record of disconnection is retained permanently

### ***D. Valve Records***

Records documenting installation, locations and maintenance of valves in the water and sewer systems.

#### ***1. Locations***

Retention: Permanent

#### ***2. Maintenance and Repair***

Retention: 2 years

#### ***3. Specifications***

Retention: Until valve is permanently removed from service

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## MUNICIPALITIES

### ***E. Water Consumption Reports***

Compilations of statistics documenting daily water consumption.

#### ***1. Annual Reports***

Retention: Permanent

#### ***2. Information Summarized in Annual Reports***

Retention: 2 years

### ***F. Water Distribution and Production System Records***

#### ***1. Analysis of System***

Retention: 3 years

#### ***2. Reports – Distribution and Production Systems***

Retention: Permanent

#### ***3. Water Line Maintenance and Repair Records***

Documentation of maintenance and repair of water lines.

##### ***a. Records Requiring Engineering Stamp***

Retention: 2 years after water line permanently removed from service

##### ***b. Other Records***

Retention: 2 years

#### ***4. Water Pressure Measurements***

Retention: 6 years

#### ***5. Water Storage Inspection Reports***

Retention: 6 years

#### ***6. Water System Inspection and Testing Records***

##### ***a. Video Inspection Records***

Records of video inspections to locate problems and defects so that corrective measures can be taken.

Retention: Until after next video inspection, then evaluate prior to destruction of records to determine ongoing value

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### *b. Water System Test Records*

Documentation of tests undertaken to verify connections, check condition of pipes, etc.

Retention: 5 years after completion of test

### **7. Water Use Restriction and Conservation Records**

#### *a. Notices of Restrictions*

Notices of water use restrictions imposed because of restrictions on water supply.

Retention: 2 years

#### *b. Variance Records*

Records of variances for individual property owners to the watering restrictions.

Retention: Until expiration of variance

#### *c. Water Conservation Records*

Records of activities that promote and coordinate the efficient use of water resources; i.e., educational and outreach efforts, reports, etc.

Retention: 5 years, then evaluate for continuing value prior to destruction of records

## **60.090 WATER AND SEWER TREATMENT SYSTEM RECORDS**

Records relating to the treatment of water or sewage.

### ***A. Analytical Reports***

Records relating to analysis of samples taken from various locations throughout the system and from raw and processed sources of supply.

#### ***1. Bacteriological and Microbiological Analysis***

Samples collected for laboratory testing for various contaminants that are naturally present in the environment; includes sewage plant composite sampling records, weekly sewage tests, etc.

Retention: 5 years [40 CFR 141.33]

#### ***2. Chemical and Radiological Analysis***

Verifications of water quality at various sampling points to determine the presence of chemicals and radionuclides from the decay of natural and manmade deposits and the erosion of natural deposits.

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

Retention: 10 years [40 CFR 141.33]

### **3. Lead and Copper Analysis**

Tests to determine the levels of lead and copper resulting from the corrosion of household plumbing systems, the erosion of natural deposits and leaching from wood preservatives; includes sampling data and analyses, reports, surveys, letters, evaluations, schedules, state determinations, etc.

Retention: 12 years [40 CFR 141.91]

### **4. Secondary Contaminants Analysis**

Tests to determine the levels of inorganic and volatile organic contaminants.

Retention: 10 years [40 CFR 141.33]

### **5. Turbidity Analysis**

Documentation of analysis of water samples to determine level of cloudiness caused by suspended particles resulting from soil runoff.

Retention: 5 years [40 CFR 141.33]

### **8. Water Test Standards**

Standards for water testing.

Retention: 5 years after superseded

## **B. Annual Reports**

Reports created on annual basis, including national primary drinking water consumer confidence reports delivered to consumers, documenting water and wastewater treatment operations.

Retention: Permanent

## **C. Corrective Actions – Noncompliance**

Documentation of actions to correct violations of primary drinking water regulations.

Retention: 3 years after last action regarding violation [40 CFR 141.33]

## **D. Discharge Permits and Monitoring**

Documentation of pollution and effluent discharged from wastewater treatment facilities and reports submitted in conjunction with permit compliance; permits issued under the Clean Water Act by the Colorado Department of Health or Environmental Protection Agency/ National Pollution Discharge Elimination System (NPDES) for discharge of treated sewage under controlled conditions.

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## MUNICIPALITIES

### **1. Inspection Records**

Documentation of annual inspections of wastewater treatment operations to monitor compliance with NPDES permit conditions.

Retention: 5 years

### **2. Odor Complaints**

Retention: 3 years

### **3. Permits and Supporting Documentation**

Retention: 5 years after expiration, cancellation, revocation or denial

### **E. Industrial Pretreatment Permits**

Permits and permit modifications issued to private industries allowing the discharge of specific pollutants under controlled conditions.

Retention: 5 years after expiration, cancellation, revocation or denial

### **F. Operational Reports**

#### **1. Chlorination Reports**

Retention: 10 years

#### **2. Filter Plant Logs**

Daily information regarding plant operations.

Retention: 5 years

#### **3. Plant Capacity Records**

Retention: 2 years

#### **4. Sand Trap Inspections**

Retention: Life of sand trap

### **G. Sanitary Surveys of System**

Studies, surveys or reports examining the overall sanitary condition of water and wastewater systems and any communications regarding the sanitary survey.

Retention: 10 years after completion of sanitary survey [40 CFR 141.33]

### **H. Sludge Application Records**

Documentation of placement of approved sites and the surface application of sewage sludge to approved sites.

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### **1. Domestic Septage Application**

Retention: 5 years [40 CFR 503.17]

### **2. Permits and Supporting Documentation**

Retention: 5 years after expiration, cancellation, revocation or denial

### **3. Preparation and Application of Sludge**

Records relating to preparation of sewage sludge and the application of sewage sludge to approved sites, including certifications of concentration of pollutants, pathogen requirements and management practices.

Retention: 5 years [40 CFR 503.17]

### **4. Surface Disposal Site Placement**

Records of sewage sludge placed on surface disposal sites, including name and address of persons who prepare the sludge, name and address of the landowner or lease holder, site location, an explanation of why the sludge must remain on the site for longer than two years before final use or disposal, and an estimate of when final disposal will take place.

Retention: By person who prepares sludge, for as long as sewage sludge remains on land [40 CFR 503.20]

### **I. Variances and Exemptions**

Retention: 5 years after expiration [40 CFR 141.33]

## **60.100 WATER SOURCE OF SUPPLY RECORDS**

Records pertaining to source of supply of raw (untreated) water, including records relating to adjudication, acquisition, dedication and transfer of water shares and water resources and records relating to the water storage system. [**Important Note:** Water rights records are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

### **A. Acquisition, Sale and Transfer Records**

Records relating to acquisition, sale or transfer of water rights, including water acquisition agreements, dedication of water rights by developers to meet development requirements, court proceedings, water decrees, allotment contracts, temporary use permits and other similar transactions.

Retention: Permanent, *except* that water offers are to be retained until accepted or rejected [**Important Note:** Water rights records are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

### **B. Dam Monitoring and Inspection Records**

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## MUNICIPALITIES

Dam safety inspections and monitoring data and reports.

Retention: Life of dam + 1 year

### ***C. Ditch Records***

Records relating to gauging station and visual monitoring of ditch flows and conditions.

Retention: Life of ditch + 1 year

### ***D. River and Stream Records***

#### ***1. Flow Measurements***

Data reported to the State Engineer's Office regarding water flows, collected from recording stations in streams or wells.

Retention: 1 year

#### ***2. Hydrologic Data – Rivers and Streams***

Raw data collected from field gauging stations established to monitor diverted river and stream flows.

Retention: 5 years, provided that data is compiled into report that is retained permanently

#### ***3. Surface Water Rights Records***

Augmentation plans, river flow observations, adjudication of priorities of use and similar records relating to surface water rights.

Retention: Permanent [**Important Note:** Water rights records are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

### ***E. Underground Water Rights and Supply***

Records relating to underground aquifers, water wells and similar records.

Retention: Permanent [**Important Note:** Water rights records are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

### ***F. Water Decree Accounting***

Records retained as required by the State Engineer or Water Court to track the use of water under a decree.

Retention: Permanent [**Important Note:** Water rights records are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

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## MUNICIPALITIES

### ***G. Water Rental or Leasing Records***

Records relating to water stock assessments and seasonal rental of surplus irrigation water.

Retention: 6 years

### ***H. Water Stock Certificates***

Documents issued by water companies as proof of an ownership interest in the company.

Retention: Until sale or transfer of stock

### ***I. Weather Records***

#### ***1. Weather Modification Records***

Records of cloud seeding projects.

Retention: Permanent

#### ***2. Weather Observation Records***

Reports on weather, river, snow pack and climatological observations affecting water supply.

Retention: Permanent for data compilations and 5 years for raw data

### ***J. Well Records***

Records pertaining to location, adjudication, permit applications, drilling, installation, testing, use and abandonment of water wells for municipal use.

Retention: Permanent [**Important Note:** Water rights records are considered to be essential municipal records, and the State Archives therefore recommends that the "record" copy be retained in paper format.]

### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Annexation review records – 65.010, Annexation Case Files
- Communication infrastructure – Schedule 55, Information Technology and Communication Systems Records
- Communication systems franchises – 30.110, Franchise Records
- Complaints – 40.090, Complaints, Routine Service Requests and Nonbinding Petitions
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Development review records – 65.030, Development Case Files
- Easements – 95.030, Easements and Rights-of-Way and Supporting Documentation
- Emergency plans – 100.040, Emergency Planning and Response
- Encroachments – 75.020.G, Permits to Work in Public Way
- Enterprise board records – 45.060, Governing Body as Another Decision-Making Body
- Equipment calibration, maintenance and testing – 35.010, Equipment Records in General

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- Fee collection – 30.020, Accounts Receivable (A/R) Records
- Franchises – 30.110, Franchise Records
- Hazardous waste – 25.020, Hazardous Waste Storage and Transport Records
- Impact fees – 30.020, Accounts Receivable (A/R) Records
- Improvement districts – 30.130, Improvement District Records
- Landfill monitoring – 25.010, Environmental Monitoring and Reviews
- Maps and drawings – 40.180, Maps, Drawings and Supporting Documentation
- Metering records – 30.210.B, Meter Records
- Plans – 40.330, Studies, Plans and Reports
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Projects – 40.240, Project Files
- Rebate programs – 30.180, Rebate Program Records
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- Studies – 40.330, Studies, Plans and Reports
- Traffic code – 40.070.A, Codes Adopted by Reference
- Training and operator records – 90.070, Employee Records – Active and Terminated
- Utility billing – 30.210, Utility Billing
- Water and sanitation district records – 40.320, Special District Records
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# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 65

#### LAND USE AND PLANNING RECORDS

General Description: Records pertaining to annexations, developments, land uses and planning and land use regulation.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 65.010 ANNEXATION CASE FILES

Records documenting the annexation of areas or the disapproval of annexations, including annexation petitions, annexation agreements, copies of annexing and zoning ordinances, annexation maps, permanent correspondence, departmental review of various impacts of the annexation (traffic, utility, financial, support services, environmental), etc. See also *15.150.A, Annexation and Deannexation Election Petitions.*

##### ***A. Approved***

Retention: Permanent, *except* that obsolete nonpermanent correspondence and documentation may be purged in accordance with this Retention Schedule

##### ***B. Not Approved***

Retention: 5 years after disapproval

#### 65.020 CENSUS AND POPULATION RECORDS

##### ***A. Census and Population Data (Historical)***

Summary population estimates, statistics and municipal census surveys.

Retention: Permanent

##### ***B. Census Forms and Reports***

Copies of U.S. Census Bureau forms and voluntary surveys on government employment and local government tax revenues, used to meet the requirements for Federal Revenue Sharing and to make financial information available to the public; annual survey of government employees, boundary and annexation survey and similar reports.

Retention: 3 years

#### 65.030 DEVELOPMENT CASE FILES

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## MUNICIPALITIES

Records pertaining to developments, including accessory use reviews, conceptual reviews, conditional use reviews, master plans, nonconforming use reviews, overall development plans, permitted use reviews, planned unit developments, site plans, site specific development plans, minor subdivisions, replats, resubdivisions, special use reviews, vacations of plats and plans, and similar projects; includes departmental review of various aspects of development proposals (traffic, utilities, financial, environmental) and documentation of vested property rights.

### **A. Approved**

Retention: Permanent, *except* that obsolete nonpermanent correspondence and documentation may be purged in accordance with this Retention Schedule

### **B. Not Approved**

Retention: 2 years after disapproval

## 65.040 ECONOMIC DEVELOPMENT RECORDS

### **A. Economic Development Incentives**

Records relating to economic incentives or waivers provided to companies locating in the municipality.

Retention: 7 years after company goes out of business or leaves jurisdiction

### **B. Enterprise Zone Records**

Records documenting the creation and management of enterprise zones in conjunction with other jurisdictions to encourage business growth by providing tax, permit and regulatory relief to development within the zone.

#### **1. Summary Reports**

Retention: Permanent

#### **2. Other Enterprise Zone Records**

Retention: 4 years after zone designation expires

## 65.050 REFERRALS FROM OTHER JURISDICTIONS

Advisory deliberations from the County or other jurisdictions for review and recommendation.

### **A. Direct Interest to the Municipality**

Retention: 6 years, provided that it is reviewed for ongoing value before destroying

### **B. Other Referrals**

Retention: Until no longer needed for reference

## 65.060 VARIANCE AND EXEMPTION CASE FILES

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Records pertaining to approval of variances to code requirements, such as setback and parking requirements, requested by property owners and developers due to hardships and circumstances outside of their control.

Retention: 10 years after expiration, revocation or discontinuance of use

### 65.070 VIOLATIONS – LAND USE CODE

#### ***A. Land Use Violations***

Records of violations of land use or related codes.

Retention: 3 years after file is closed

#### ***B. Nuisance Abatement Records***

Records documenting enforcement of local provisions designed to abate nuisances such as overgrown weeds and grass, abandoned vehicles, junk and trash and other nuisances.

Retention: 2 years after last action or final payment

### 65.080 ZONING RECORDS

Records pertaining to the initial zoning of property upon annexation or the subsequent rezoning of property, including correspondence of enduring value, ordinances, zoning maps, petitions, zoning certificates and similar records.

Retention: Permanent, *except* that obsolete nonpermanent correspondence and documentation may be purged in accordance with this Retention Schedule

#### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Code enforcement – 85.030.B, Code Enforcement Cases and Other Municipal Ordinance Cases
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Fee receipts – 30.020, Accounts Receivable (A/R) Records
- Floodplain records – 60.040, Stormwater Drainage System Records
- Hazardous waste - 25.020, Hazardous Waste Storage and Transport Records
- Planning studies, plans and reports – 40.330, Studies, Plans and Reports
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- Special districts – 40.320, Special District Records

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## MUNICIPALITIES

### SCHEDULE NO. 70

#### LIBRARY AND MUSEUM RECORDS

General Description: Records relating to library and museum or local history operations.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 70.010 LIBRARY RECORDS

Records pertaining to the operation of a municipal library. [CRS 24-90-109]

##### **A. Catalogs**

Finding aids in card or computer form that provide patrons with access to library holdings.

Retention: Until superseded

##### **B. Gift Register**

Retention: Permanent

##### **C. Interlibrary Loan Transactions/Reciprocal Borrowing Sheets**

Retention: 3 years

##### **D. Patrons' Registration Forms**

Retention: 6 years

##### **E. User Records**

Records of use of specific library materials by individual patron. [CRS 24-90-119 addresses privacy of library user records]

Retention: 3 years

#### 70.020 MUSEUM RECORDS

Records documenting the acquisition and ownership of museum materials in museums, local history collections, and similar collections or repositories, including: raw (untouched) image files of museum artifacts; temporary custody forms documenting chain of custody of materials held for review pending a decision on permanent acquisition; contracts of gift or deeds of gift forms documenting permanent acquisitions; loan forms documenting the chain of custody of materials

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loaned to the museum or loaned by the museum to other repositories; and deaccession records documenting the removal of materials from the collection.

Retention: Permanent

### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Board of trustees records – Schedule 20, Entities Appointed by Municipality
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Fee collections – 30.020, Accounts Receivable (A/R) Records
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Purchasing records – 30.170, Purchasing Records
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 75

#### LICENSES AND PERMITS

General Description: Records pertaining to the review, investigation, approval, issuance, renewal, denial, suspension or revocation of licenses and permits.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 75.010 BONDS – LICENSES AND PERMITS

Bonds required before a license or permit can be issued or renewed.

Retention: 6 years after expiration

#### 75.020 LICENSES AND PERMITS – ISSUED BY THE MUNICIPALITY

Licenses or permits to own or use something, do something or carry on a business.

##### ***A. Alcohol Beverage Licensing and Permit Records***

Application and supporting materials relating to issuance, renewal, transfer, suspension or revocation of licenses for establishments that sell alcohol beverages.

##### ***1. License and Permit Files***

Records relating to applications and renewals for all types of beer and liquor licenses, special events and temporary permits, including initial municipal and state application forms; change of corporate or trade name form; change of location permit; modification of premises; floor diagram; individual history forms; manager's registration and changes of manager forms; certificates of incorporation or good standing; record of payment of fees; record of posting of premises; neighborhood petitions; boundary maps; ownership records including lists of officers, stockholders and directors, partnership agreements, articles of organization, operating agreements, certificates of authority, and corporate changes; show-cause or administrative hearing records and records of revocation or suspension; and other background materials.

Retention: 2 years after establishment ceases operation or after final denial, expiration, revocation, termination or transfer of license or permit, *except* that any background materials that will also apply to transferred license should be retained from original license file and that any obsolete material may be purged when replaced with updated information

##### ***2. Special Events Licenses***

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Application and supporting documentation for special events licenses.

Retention: 2 years + current after event

### ***B. Contractor's Licenses/Registrations***

Licenses issued locally to contractors to authorize them to do business as builders, general contractors, or contractors for installation or work on specific types of systems. Note: The State of Colorado issues plumbing contractor registrations pursuant to CRS 12-58-105 and electrician registrations pursuant to CRS 12-23-105.

Retention: 6 years [CRS 13-80-104]

### ***C. Licenses Issued by the Municipality in General***

Licensing records, including application, proof of payment, copies of license certificates issued, proof of insurance, approval forms from reviewing departments and similar documentation for licenses, including (but not limited to) those for animals, amusement devices, auctioneers, bicycles, carnivals, cemetery contractors, circuses, dance halls, home occupations, house movers, massage therapists, oil and gas well drilling, pest control, refuse haulers, secondhand dealers, security guards, shooting galleries, sexually oriented businesses, sign contractors, slaughterhouses, taxi and limousine drivers, theaters, transient vendors, tree trimming, vendors and peddlers, etc.

Retention: 2 years after expiration, revocation, denial or termination of licensed activity

### ***D. Medical Marijuana Licensing Records***

#### ***1. License Files***

Records relating to local licenses to distribute, transmit, give, dispense, cultivate or otherwise provide marijuana in accordance with Section 14 of Article XVIII of the Colorado Constitution; includes business license applications and supporting documentation, such as owner identity information, applicant criminal history investigations, business plans, lighting plans, information on where plants will be cultivated, zoning approvals, security arrangements, signage plans, etc.

Retention: 2 years after establishment ceases operation or after final denial, expiration, revocation, termination or transfer of license, *except* that any background materials that will also apply to transferred license should be retained from original license file and that any obsolete material may be purged when replaced with updated information

#### ***2. Patient Registry Information***

Confidential records made known to local governments relating to the identity of individuals applying for a medical marijuana registry card through the CDPHE. [CRS 18- 188-406.3, CRS 25-1.5-106, 5 CCR 1006-2]

Retention: Until no longer needed for reference

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### ***E. Pawnbroker Licensing Records***

#### ***1. License Files***

Records relating to applications for licenses, record of payment of fees, background investigation material, etc.

Retention: 2 years after expiration, revocation, denial or termination

#### ***2. Pawn Records***

Records received from pawn shops to track the acquisition and sale of pawned property, including declarations of ownership.

Retention: 2 years after transaction

### ***F. Permits Issued by the Municipality in General***

Records including applications, proof of payment and insurance coverage and other supporting documentation for permits issued to allow specific activities; includes (but is not limited to) permits for alarm system installation, banners, billboards, boats on municipal lakes, burning of refuse, candles and open flames in public places, cemetery monument placement, communication towers, concealed weapons, excavation, explosives, facility use, fence installation, fireworks and pyrotechnical displays, flammable or combustible liquids storage or sale, gas and oil drilling structures, grading, guard dogs, home occupations, house moving, hunting, landscaping, loudspeakers, odor control, parking, parades and assemblies, right-of-way planting, signs, special events or uses, spray booths, tents or canopies, tree trimming or removal, watering, etc.

Retention: 2 years after expiration, revocation, denial or termination of permitted use

### ***G. Permits to Work in Public Way***

Encroachment permits, revocable permits, street cut permits, public right-of-way permits or other permits issued for permanent, indefinite or temporary trespass on, under or over the public right-of-way (streets, sidewalks, adjacent public right-of-way or publicly owned property); for private use or construction to place improvements, communications, utility or other installations or temporary uses in the public way, such as demolitions, excavations, street cuts, blasting, crane operations, barricade installations, concrete construction (curb, gutter, sidewalks) or the moving of heavy equipment; supporting documentation includes applications, maps and drawings, proof of insurance, departmental reviews, approvals, etc.

Retention: 3 years after permit expiration, revocation or discontinuance of use and after expiration of any warranties for activity or work done in public way

### ***H. Work-Related Permits***

#### ***1. Confined Space Entry Permits***

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Issued by employer to document the completion of required safety measures for employees to work in confined spaces, such as tanks, storage bins, hoppers, vaults and pits with limited or restricted means of entry or exit.

Retention: At least 1 year after cancellation [29 CFR 1910.146(e)(6)]

### ***2. Hot Work and Open Flame Work Permits***

Issued by employer for employees to conduct hot and open flame work, such as electric or gas welding, cutting, brazing or similar flame or spark-producing operations, in or near hazardous chemicals or substances possessing toxic, reactive, flammable or explosive properties.

Retention: Until completion of work [29 CFR 1910.119(k)(2)]

## **75.030 LICENSES , PERMITS AND SUPPORTING DOCUMENTATION – ISSUED TO THE MUNICIPALITY**

Applications and supporting documentation for licenses or permits issued by other entities as evidence that the municipality is allowed to undertake some type of activity for which a license or permit is required.

### ***A. Childcare Facility Licensing Records***

Records relating to municipally operated childcare facilities at recreation centers or other facilities; includes license applications and supporting documentation; records relating to the admission, progress, health and discharge of children; complaints; criminal history checks and other records of personnel and volunteers; fire and health inspections, reports to the State; critical incident reports; etc.

Retention: 3 years [CRS 26-6-101, et seq., 12 CCR 2509-8, Rule 7.701]

### ***B. Licenses and Permits Issued to Municipality in General***

License or permit records, including applications and supporting documentation, as well as certificates issued by other agencies, such as for State sales tax license, withholding tax registration, State certificate of exemption, etc.

Retention: 2 years after expiration

## **75.040 REGISTERS – LICENSES AND PERMITS**

Records, listings or logs of licenses or permits, including contact lists and listings of active licenses and permits.

Retention: Until superseded

### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Building and demolition permits – 05.030, Building and Demolition Permits

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- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Industrial pretreatment permits – 60.090.E, Industrial Pretreatment Permits
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- Sales tax licenses – 30.190.E, Sales and Use Tax Records
- Sewer tap permits – 60.080.C, Tap Permits and Connection Records
- Sign permits – 05.090, Signs – Construction and Installation
- Sludge application permits – 60.090.H, Sludge Application Records
- Underground storage tank permits – 25.050, Storage Tanks – Regulated Substances
- Water tap permits – 60.080.C, Tap Permits and Connection Records

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## MUNICIPALITIES

### SCHEDULE NO. 80

#### LITIGATION AND LEGAL COUNSEL RECORDS

General Description: Records pertaining to claims, lawsuits and advice received from legal counsel.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 80.010 CLAIMS

##### ***A. Claim Notifications***

Records of notifications of claims regarding potential lawsuits that are forwarded to legal counsel and/or the insurance carrier.

Retention: 6 years after closure of claim

##### ***B. Medical Records – Personal Injury Claims***

Medical records that provide supporting documentation needed for resolution of personal injury claims.

Retention: Until claim is resolved, then evaluate for continuing value prior to destruction

#### 80.020 CRIMINAL CASE FILES

Files used by prosecutors to conduct trials against persons charged with criminal misdemeanors, including citations, police reports, driving records, complaints, subpoenas, motions, judgments and related records.

Retention: 2 years after case is closed

#### 80.030 LEGAL COMMUNICATIONS

Communications and legal advisory opinions written by legal counsel to give advice regarding the legality or legal consequences of various courses of action and to present the basis and rationale for legal recommendations.

##### ***A. Enduring Long-Term Value***

Legal counsel communications that have long-term administrative, policy, legal, fiscal, historical, informational, reference or research value.

Retention: Permanent

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## MUNICIPALITIES

### ***B. Routine Value***

Routine legal counsel communications that contain no long-term significant administrative policy, legal, fiscal, historical, informational, reference or research value.

Retention: 2 years, then evaluate prior to destruction to determine that there is no further value

### **80.040 LITIGATION CASE RECORDS**

Civil case files documenting pending and closed cases, including legal documents, notes, reports, background material, settlement records and other documentation created in handling of claims, legal disputes, civil actions and regulatory proceedings. These records include complaints, summonses, investigations, reports, attorney's notes, photographs, orders and judgments, dispositions, pleadings, court decisions, court proceedings and research material.

Retention: 6 years after case closed, dismissed or date of last action or thereafter until legal counsel determines that there is no further reference or historical value

### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Billings to outside legal counsel – 30.010, Accounts Payable (A/P) Records
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Garnishments – 90.140.A, Basis of Pay
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Risk management – Schedule 105, Risk Management
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

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## MUNICIPALITIES

### SCHEDULE NO. 85

#### MUNICIPAL COURT RECORDS

General Description: Records pertaining to the administration and operations of the municipal court.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 85.010 APPEAL RECORDS

Records related to municipal court decisions appealed to higher courts.

##### ***A. Appeal Decisions***

Rulings of higher court's decision on appeals.

##### ***1. General Ordinance***

Retention: 4 years

##### ***2. Traffic***

Includes cases with or without outstanding judgment/warrant (OJ/W) liens.

Retention: 4 years

##### ***B. Appeal Transcripts***

Transcripts of proceedings prepared for appeals of decisions to higher courts.

Retention: 30 days after all rights of appeal have expired, if not perfected, or 4 years upon decision rendered by higher court

#### 85.020 BONDS AND SUPPORTING DOCUMENTATION – COURT

Bonds held for legal proceedings and supporting documentation; includes appeal bonds, cash bonds, personal recognizance bond, surety bonds, etc.

Retention: 4 years after final dispensation

#### 85.030 CASE FILES

Records containing summonses and complaints issued for appearances in municipal court and supporting documentation such as subpoenas, citations, notices, letters, other court-issued

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instruments, forms, plea offers, payments plans, etc. Note: A case file is considered to be "closed" upon judgment or when all appeal rights have expired.

### **A. Animal Cases**

Retention: 4 years after closed

### **B. Code Enforcement Cases and Other Municipal Ordinance Cases**

Cases relating to enforcement of Code provisions relating to matters such as sales tax, abatements or fire, safety and building codes.

Retention: 4 years after closed

### **C. Misdemeanor Cases**

Retention: 4 years after closed

### **D. Parking Cases**

Retention: 2 years after closed

### **E. Traffic Cases**

Cases with or without outstanding judgment/warrant (OJ/W) liens.

Retention: 4 years after closed

### **F. Voided Summonses**

Retention: 2 years

## **85.040 DOCKET SHEETS**

Rosters and listings of court cases to be heard and dates and times set for court appearances.

Retention: 2 years, *except* retain those older than 1920 permanently

## **85.050 EVIDENCE**

Admitted evidence.

Retention: 30 days after all rights to appeal have expired, then as appropriate return to law enforcement agency or property owner or destroy

## **85.060 JURY RECORDS**

Records relating to selection and oversight of jurors, rosters of persons selected to serve on juries, jury summonses and instructions regarding service on the jury.

Retention: 2 years after closed

## **85.070 PROBATION FILES**

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## MUNICIPALITIES

Probation terms and conditions, reports and supporting documentation kept by probation officer or department (separate from case file).

Retention: 2 years after closed

### 85.080 RECORDINGS OF COURT PROCEEDINGS

Audio or video recordings made of proceedings before the municipal court.

Retention: 6 months after judgment is entered, provided that all rights of appeal have expired

### 85.090 REGISTERS AND INDEXES

Alphabetical or numerical indexes or registers of municipal court cases and transactions.

#### ***A. Index or Register of Cases***

Retention: 4 years

#### ***B. Index or Register of Deferred Sentences***

Retention: 6 months after case closed, provided that rights of appeal have expired

#### ***C. Index or Register of Warrants***

Retention: 6 months after case closed, provided that rights of appeal have expired

#### ***D. Registers – Monthly***

Retention: 6 months after case closed

### 85.100 WARRANTS

#### ***A. Search Warrants***

An official authorization issued by the court to enter and search a building or property.

Retention: 4 years from filing date and/or closed or recalled, unless placed in case file or introduced as exhibit

#### ***B. Warrants for Arrest or Detainment***

Orders issued by the court for the arrest or detainment of an individual.

Retention: 2 years after closed or recalled

### Cross References

- Agreements and contracts – 40.030, Agreements and Contracts
- Bank records for court-maintained accounts – 30.050, Bank Records
- Correspondence and general documentation – 40.100, Correspondence and General Documentation

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## **MUNICIPALITIES**

- Fines and charges receipts – 30.020, Accounts Receivable (A/R) Records
- Fines and charges schedules – 30.090, Fees and Rates Schedules and Supporting Documentation
- Judges' records – Schedule 90, Personnel Records
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards

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## MUNICIPALITIES

### SCHEDULE NO. 90

#### PERSONNEL RECORDS

General Description: Records relating to the hiring, employment, safety, benefits, compensation, retirement and termination of employees.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 90.010 AFFIRMATIVE ACTION RECORDS

Records relating to compliance with federal affirmative action requirements.

##### **A. Affirmative Action Plan**

Retention: 2 years after superseded

##### **B. Report EEO-1**

Employer information reports made by all municipalities with more than 100 employees.

Retention: Copy of most current report must be available [29 CFR 1602.12]

##### **C. Report EEO-4**

Records submitted to the Equal Employment Opportunity Commission (EEOC) documenting compliance with EEOC requirements by municipalities with 15 or more employees.

Retention: 3 years [29 CFR 1602.32]

##### **D. Requests for Reasonable Accommodations**

Requests for reasonable accommodations in hiring or employment.

Retention: 2 years [29 CFR 1602.31]

#### 90.020 AGREEMENTS AND CONTRACTS – EMPLOYMENT

Individual employment contracts or where contracts or agreements are not in writing, a written memorandum summarizing the terms.

Retention: 3 years after expiration [29 CFR 516.5]

#### 90.030 BENEFIT RECORDS

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Records pertaining to fringe benefits, insurance coverage and benefit plans for employees.

### ***A. Benefit Plans***

Documentation relating to employee health, dental, vision and other insurance plans; Social Security, pension, deferred compensation, Individual Retirement Accounts, money purchase plans, retirement and similar plans; including a benefit plan description and/or a summary benefit plan description.

Retention: Full period that plan or system is in effect (i.e., as long as anyone is still covered under the plan), plus 1 year after termination of plan [29 CFR 1627.3]

### ***B. Benefit Reports***

Reports detailing the status of employee benefits, such as the amount of flex time remaining.

Retention: 3 years

### ***C. Employee Insurance Claim Records***

Reports pertaining to employee claims for medical, dental, long-term disability and other insurance coverage.

Retention: 3 years after claim is closed and all rights of appeal have expired

### ***D. Plan Basis***

Records providing the basis for all required plan descriptions and reports necessary to certify the information, including vouchers, worksheets, receipts, applicable resolutions.

Retention: Not less than 6 years after filing date of documents [29 USC 1027]

## **90.040 BONDS – PUBLIC OFFICIALS**

Fidelity, surety, blanket or other bonds intended to guarantee honest and faithful performance of officials. [CRS 31-4-219, CRS 31-4-401]

Retention: 6 years after bond expires

## **90.050 COLLECTIVE BARGAINING RECORDS**

Agreements resulting from collective bargaining negotiations and supporting documentation such as general correspondence; records relating to the selection of negotiators, mediators and arbitrators; negotiation session agendas, notes, recordings and summaries, etc.

Retention: 3 years after expiration of collective bargaining agreement [29 CFR 516.5]

## **90.060 DRIVER'S LICENSE VERIFICATIONS**

Records of periodic checks by the municipality that employees have the appropriate valid drivers' licenses.

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## MUNICIPALITIES

Retention: Until superseded

### 90.070 EMPLOYEE RECORDS – ACTIVE AND TERMINATED

Documentation of an individual employee's work history maintained because of the employer employee relationship, such as records pertaining to age, current or last-known address, telephone number and social security number; notices of appointment; tuition reimbursement; classification questionnaires; commendations; disciplinary and personnel actions and supporting documentation, including hiring, evaluation, demotion, promotion, layoff, selection for training or apprenticeships, transfer, resignation and termination or involuntary termination; delegations of authority and work assignments; emergency notification forms; oaths of office; job-related training documentation; individual safety training records, performance evaluations; salary documentation; beneficiary designations; selection of benefit plans; records relating to COBRA continuation of health insurance coverage; etc. [General Reference: CRS 24-72-202(4.5)]. Note: Medical records are to be retained separately in accordance with federal law. For employee medical records, see 90.110.B, *Employee Medical Records in General*.

Retention: 10 years after retirement or separation, provided that records that are updated periodically may be destroyed when superseded and that medical records relating to hazardous material exposure are retained 30 years after separation  
Departmental employee records: Consult with custodian of record copy of employee records regarding proper transfer or disposal of departmental employee records upon termination of employment

### 90.080 EMPLOYEE RECORDS – TEMPORARY AND SEASONAL

Records and documentation relating to employment of temporary and seasonal employees, *except* for payroll and fiscal information.

Retention: 3 years after termination, *except* payroll and fiscal records

Departmental temporary or seasonal employee records: Consult with custodian of record copy of employee records regarding proper transfer or disposal of departmental employee records upon termination of employment

### 90.090 EMPLOYMENT VERIFICATIONS

Records of verification of employment in response to external requests (i.e., verifications of employment status needed for loans, child support, job applications, etc.).

Retention: 2 years

### 90.100 GRIEVANCES

Records of personnel grievances filed by employees.

Retention: 3 years after settled

### 90.110 HEALTH, MEDICAL AND SAFETY RECORDS

See also 90.220, *Workers' Compensation*.

#### A. Commercial Drivers' License Records

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## MUNICIPALITIES

### **1. Administrative Records**

Records relating to administration of the CDL Program, including copies of expired driver's licenses, DOT physicals, program brochures and flyers, etc.

Retention: 5 years [49 CFR 382.401(b)(1)(vi)]

### **2. Annual Calendar Year Summary**

Retention: 5 years [49 CFR 382.401(b)(1)(vii)]

### **3. Calibration Documentation**

Retention: 5 years [49 CFR 382.401(b)(1)(v)]

### **4. Collection Process Records**

Retention: 2 years [49 CFR 382.401(b)(2)]

### **5. Driving Skills Testing Center Pass/Fail Records**

Retention: 3 years [1 CCR 204-12]

### **6. Test Refusal Documentation**

Retention: 5 years [49 CFR 382.401(b)(1)(iii)]

### **7. Test Result Records – Alcohol and Controlled Substances**

#### **a. Alcohol Test Results**

##### **1) Concentration Greater Than 0.02**

Retention: 5 years [49 CFR 382.401(b)(1)(i)]

##### **2) Concentration Less Than 0.02**

Retention: 1 year [49 CFR 382.401(b)(3)]

#### **b. Controlled Substance Test Results**

##### **1) Driver Verified Positive Test Results**

Retention: 5 years [49 CFR 382.401(b)(1)(ii)]

##### **2) Negative and Cancelled Test Results**

Retention: 1 year [49 CFR 382.401(b)(3)]

### **8. Training and Education Records – Technicians, Supervisors, Drivers**

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Retention: Maintained by employer while individual performs functions which require training and for 2 years after individual ceases to perform those functions [49 CFR 382.401(b)(4)]

### ***B. Employee Medical Records in General***

Confidential employee medical records, including: pre-employment physicals; postemployment offer medical examinations and inquiries; job-related medical examinations and inquiries consistent with business necessity; voluntary medical histories obtained as part of an employee health program; pre-employment, post-accident and random drug testing records (not including CDL testing); medical records connected to personnel actions and covered under the requirements of ADA, ADEA, FMLA or OSHA; hazardous materials exposure records, such as records of any personal or environmental monitoring of exposure to hazardous materials, lead and asbestos, chemicals, toxic substances, noise, dust, heat, cold, repetitive motion, blood-borne pathogens, biological agents, bacteria, virus, fungus, radiation, or other dangerous work-related conditions. [General Reference: 29 CFR 1630.14, medical records are not personnel records and must be kept physically separate from employee personnel records.]

Retention: 10 years after separation from employment, *except* that employee medical records related to hazardous materials or blood-borne pathogen exposure are to be retained for 30 years after separation from employment and medical records related to workers' compensation cases are to be retained for 10 years after case is closed [29 CFR 1910.1020, 29 CFR 1910.1030]

### ***C. HIPAA Authorizations for Release of Information***

Employee (patient) authorizations for release of protected health and medical information.

Retention: 6 years from date of creation of record

### ***D. Safety Training Records***

Manuals, handbooks and similar documentation of safety training provided to employees.

Retention: 2 years after superseded or after training is no longer administered, whichever is later

## **90.120 I-9 FORMS**

Record of verification of citizenship and eligibility to work in the United States, including verification documentation that establishes identity and eligibility (Immigration and Naturalization Services Form I-9, Employment Eligibility Verification Form); applies to all employees hired after November 6, 1986.

Retention: 3 years from date of hire, rehire or 1 year after separation, whichever is later (minimum of 3 years) [8 CFR 274a.2]

## **90.130 JOB RECRUITMENT RECORDS**

### ***A. Advertisements of Job Opportunities***

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Advertisements and announcements regarding job openings, promotions, training programs or overtime work.

Retention: 1 year [29 CFR 1627.3]

### ***B. Applications for Employment and Supporting Documentation***

Applications, resumes and supporting documentation, including polygraph exams, and other replies to job advertisements, including applications for temporary positions and applications from individuals not hired.

Retention: 2 years from the date of the making of the record or the personnel action involved, whichever is later [29 CFR 1602.31]

### ***C. Background Investigation Files – Public Safety Applicants Not Hired***

Files containing background investigation information for public safety applicants, such as background checks, CVSA narrative psychological reports, reference checks, etc.

Retention: 3 years

### ***D. Examinations and Tests***

Tests administered to screen job applicants to determine aptitude or skills.

Retention: 2 years from date of making of record or personnel action involved, whichever is later [29 CFR 1602.31]

### ***E. Fair Credit Reporting Act (FCRA) Records***

Records of reports and investigations by consumer reporting agencies to help employers make hiring or employment-related decisions, including consumer report disclosure to employees, consumer report authorizations from employees, employer certifications to credit reporting agencies, reports from reporting agencies, and summary of rights.

Retention: Individuals may bring claims under FCRA for 2 years after violation of Act [16 CFR, Appendix to Part 600]

### ***F. Job Descriptions and Specifications***

Written descriptions of duties performed, qualifications and physical requirements for positions.

Retention: Until superseded

### ***G. Recruitment and Interviewing Procedures***

Guidelines for recruitment and interviewing processes for hiring of employees.

Retention: 2 years

## 90.140 PAYROLL RECORDS

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### ***A. Basis of Pay***

Records pertaining to additions to or deductions from wages paid, including credit union deduction requests, garnishments, etc.; the basis on which wages are paid; earnings per week; records containing employee's name, address, date of birth, occupation, rate of pay and compensation earned per week; includes payroll records pertaining to both FLSA Exempt and FLSA-Non-Exempt Employees. Note: The basis on which wages are paid must be documented in sufficient detail to permit calculation for each pay period including benefits and prerequisites. The records may include payment of wages, wage rates, job evaluations, merit and incentive programs and seniority systems. The basic reason for these records is to give the Wage-Hour Division an indication on whether or not sex discrimination exists.

Retention: 3 years [29 CFR 516.2, 29 CFR 516.5, 29 CFR 1627.3]

### ***B. Compensation or Pay Plans***

#### ***1. Pay Plans***

Written plans outlining job titles and pay scales for employees.

Retention: Permanent

#### ***2. Seniority or Merit Systems***

Retention: For full period plan or system is in effect plus 1 year [29 CFR 1627.3]

### ***C. Direct Deposit Reports***

Retention: 2 years

### ***D. Leave Records***

#### ***1. Balance Reports***

##### ***a. Year-End***

Retention: 3 years

##### ***b. Other Periodic Reports***

Retention: 2 years

#### ***2. Leave Requests***

Applications submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long-term leave, military leave and other leave time.

##### ***a. Military Leave***

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Retention: Employees may spend up to 5 years on active duty and still be eligible for reemployment [38 USC 4312]

### ***b. Other Leave***

Retention: 2 years

### ***E. Payroll Reports***

#### ***1. End of Pay Period***

Retention: 2 years

#### ***2. FICA Reports – Quarterly***

Retention: 7 years

#### ***3. Quarterly***

Retention: 3 years

#### ***4. Year-End***

Retention: 7 years, provided that payroll register is retained permanently

### ***F. Payroll Tax Records***

Records of collection, distribution, deposit and transmittal of federal and state income taxes, including employer's quarterly federal tax return (941, 941E) and other similar federal and state forms.

Retention: 4 years after due date of tax return to which payroll tax records relate or date paid, whichever is later [26 CFR 31.6001-1]

### ***G. Register – Payroll [Year-End]***

Documentation of the earnings, voluntary and required deductions and withholdings of employees.

Retention: 50 years

### ***H. Salary Surveys***

Studies and surveys conducted to gather comparative salary information for positions in comparable organizations.

Retention: 3 years

### ***I. Time Worked Records***

All basic time and earnings cards or sheets and work production sheets of individuals where all or part of the employee's earnings are determined.

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Retention: 5 years [CRS 8-72-107]

### ***J. Wage-Rate Tables***

All tables or schedules (from their last effective date) of the employer which provide the piece rates or other rates used in computing straight-time earnings, wages or salary, or overtime pay computation.

Retention: 3 years [29 CFR 516.6]

### ***K. W-2 Forms***

Annual wage and tax statements documenting individual employee earnings and withholdings for state and federal income taxes and social security tax.

Retention: 4 years after due date of tax return to which payroll tax records relate or date paid, whichever is later [26 CFR 31.6001-1]

### ***L. W-4 Forms***

Withholding allowance certificates documenting exemption status of individual employees.

Retention: Throughout employment

## **90.150 PENSION AND RETIREMENT RECORDS**

See also *90.030.B, Benefit Reports*.

### ***A. Actuarial Reports***

Reports by actuaries concerning the financial soundness of a pension plan.

Retention: 50 years

### ***B. Retirement and Pension Files***

Records containing calculations and supporting documentation regarding retirement eligibility, retirement amounts and other information pertaining to current and future pensions; records of applications for pensions, determinations regarding pension awards and actuarial calculations for the pension.

Retention: 10 years after benefits are no longer paid or after eligibility of employee or survivors for benefits ceases, whichever is later

## **90.160 POLYGRAPH RECORDS – WORKPLACE INVESTIGATIONS**

Polygraph investigations of workplace theft or other incidents or activities resulting in economic loss to the employer; copy of statement provided to employee setting forth specific incident or activity under investigation and basis for testing; copy of notice provided to polygraph examiner identifying persons to be examined; copies of opinions, reports, charts, written questions, lists and other records relating to employee polygraph tests (e.g., records of number of examinations

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## MUNICIPALITIES

conducted each day, records specifying duration of each test period) that have been furnished to the employer by the polygraph examiner.

Retention: 3 years from date polygraph test is conducted or from date examination is requested, whichever is later [29 CFR 801.30]

### 90.170 STATE OF COLORADO NEW HIRE REPORTING COMPLIANCE

The State of Colorado requires notification for child support purposes when a new employee is hired as part of the federal parent locator service. Reports are kept for statistical purposes. [General Reference: 42 USC 653]

Retention: 3 years

### 90.180 TRAINING INFORMATION

Information presented to employees regarding policies and procedures. General and technical aspects of their jobs, and other matters, including class rosters, flyers and other supporting information.

Retention: 2 years

### 90.190 UNEMPLOYMENT INSURANCE

Reports and claim records for unemployment insurance payments.

Retention: 6 years

### 90.200 VOLUNTEER WORKER RECORDS

Records documenting work performed by individuals without compensation for their services, including applications, records of background investigations, individual recognition and timesheets.

Retention: 3 years after separation from volunteer service

### 90.210 WORK SCHEDULES

Records of scheduled work for employees, including shift schedules.

Retention: 3 years

### 90.220 WORKERS' COMPENSATION

Injury reports and supplemental reports and claim records for workers' compensation. See also *90.110, Health, Medical and Safety Records*.

Retention: 6 years after case is closed

### Cross References

- Agreements and contracts – 40.030, Agreements and Contracts
- Childcare facility personnel records – 75.030.A Childcare Facility Licensing Records

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## MUNICIPALITIES

- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Expense records – 30.010.A, Accounts Payable Records in General
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- Safety committee – 40.080, Committees – Internal
-

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 95

#### PROPERTY RECORDS

General Description: Records of real property acquisition, sale, transfer and property maintenance.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 95.010 ACQUISITION, SALE AND TRANSFER RECORDS

Records documenting the acquisition and sale or transfer of real property, including agreements of sale and purchase, appraisals, quiet title actions, condemnations and eminent domain actions, title insurance policies, closing documents and similar records.

Retention: 6 years after disposition of property

#### 95.020 DEEDS AND DEDICATIONS AND SUPPORTING DOCUMENTATION

Conveyances of property or property rights, including warranty deeds, dedication deeds and similar documents.

Retention: Permanent

#### 95.030 EASEMENTS AND RIGHTS-OF-WAY AND SUPPORTING DOCUMENTATION

##### ***A. Permanent Easements and Rights-of-Way***

Conveyances of rights to place utilities or other infrastructure or to cross under or over property owned by another property owner.

Retention: Permanent

##### ***B. Temporary Access and Construction Easements***

Documentation of temporary easements allowing access and entrance to, and work on, property or streets not owned by the easement holder.

Retention: 2 years after easement expires

#### 95.040 LEASES AND SUPPORTING DOCUMENTATION

Agreements to obtain the right to use property owned by another, or to grant the right to use property to another party, for a specified period of time in exchange for the payment of rent; includes leases, subleases, assignments of leases, etc.

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Retention: 6 years after termination of lease

### 95.050 MAINTENANCE, UPKEEP AND DAMAGE RECORDS

Records documenting the minor maintenance, repair and upkeep of facilities and property.

#### ***A. Chemical Application Records***

Records documenting the application of chemicals such as pesticides, herbicides and fertilizers to parks, cemeteries, golf courses and other property.

Retention: 3 years after application

#### ***B. Chemical Testing and Treatment Records – Aquatic Facilities***

Records, including treatment logs, of chemical treatments for aquatic facilities such as public swimming pools, fountains, spas, hot tubs, etc.

Retention: 3 years after treatment [CRS 25-5-803]

#### ***C. Damage Records***

Records of damage and vandalism to property, including signs, trees, park facilities, aquatic facilities, golf courses, buildings, fences and other property.

Retention: 3 years after date of incident

#### ***D. Inspection Records***

Records documenting periodic safety, health and environmental review and inspection of buildings, parks, playgrounds, golf courses, swimming pools and other public facilities to check for damage and recommend repairs and maintenance.

Retention: 3 years

#### ***E. Work Orders – Property***

Request and authorization forms for repair or maintenance work on facilities, signs, structures, etc.

Retention: 2 years

### 95.060 PARKS

Historical records regarding parks, including correspondence with enduring value, architectural drawings, park histories, photographs, etc.

Retention: Permanent

#### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Auction records – 30.030.B, Disposition Records
- Cemetery – Schedule 10, Cemetery Records

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Encroachment permits – 75.020.G, Permits to Work in Public Way
- Fleet and equipment – Schedule 35, Fleet and Equipment Records
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Projects – 40.240, Project Files
- Property inventories – 30.030.C, Inventories
- Rental contracts – 40.230.A, Activities and Events – Short-Term Agreements, Contracts and Supporting Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- Security records – 105.020, Security Records – Municipal Facilities
- Tree inventory – 30.030.C Inventories
- Tree removal permits – 75.020.F, Permits Issued by the Municipality in General
- Utility locate requests – 60.020, Locate Requests
- Vacations – easements and rights-of-way – 60.070, Vacations – Street, Alley and Right-of-Way

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

### SCHEDULE NO. 100

#### PUBLIC SAFETY RECORDS

General Description: Records relating to the emergency, enforcement and protective service functions.

*No record may be destroyed under this Retention Schedule if it is pertinent to any current, pending or anticipated investigation, audit or legal proceeding. **The minimum retention periods specified in this schedule apply to the information contained within the record copy, regardless of the physical format of the record copy (paper, microfilm, electronic).*** Each municipality must decide on the physical format for each type of record, ensuring authenticity, readability and accessibility for the entire retention period. **Duplicate Copies:** Retain duplicated copies that are created for **administrative purposes** for 1 year, and retain those created for **convenience or reference purposes** until no longer needed or for 1 year, whichever is first. Duplicate copies should not be retained longer than the record copy.

#### 100.010 AMBULANCE LICENSING AND OPERATION RECORDS

Records relating to the licensing and operations of municipal ambulance services.

##### ***A. Ambulance Licensing Records***

Records relating to county licensing and level of service certification of ambulance vehicles and operations.

Retention: 2 years after license or certification expires

##### ***B. Ambulance Run and Patient Records***

Call sheets, logs, patient treatment and transport records or other records of ambulance runs.

Retention: 5 years

#### 100.020 ANIMAL CONTROL

Records relating to the impoundment, care and disposition of stray animals.

Retention: 2 years

#### 100.030 DISPATCH RECORDS

##### ***A. Dispatch Recordings***

Audio recordings made to monitor and record law enforcement and other protective or emergency services radio transmissions, including police and fire radio transmissions, police emergency 9-1-1 calls and fire, rescue or ambulance dispatch calls.

Retention: 90 days

##### ***B. Emergency 9-1-1 System***

Records relating to emergency 9-1-1 and reverse 9-1-1 system management.

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

Retention: 2 years after system is superseded

### 100.040 EMERGENCY PLANNING AND RESPONSE

#### ***A. Emergency Operations and Management Plans***

Records relating to disaster, emergency and civil defense planning and implementation and testing of disaster warning systems. Includes emergency operations plans, incident response plans, and disaster management, response and recovery plans.

Retention: Permanent

#### ***B. Incident Records – Major Disasters and Emergencies***

Documentation of the extent and impacts of major natural or manmade disasters and emergency incidents and actions taken in response to such incidents; includes logs, diaries, damage assessment and response reports, situation and resource allocation reports, incident plans, resource ordering and tracking, financial documentation, photographs, and similar incident-related documentation. A *major disaster or emergency incident* is defined as one that may have historical significance and/or a federal or state disaster declaration; i.e., the 2008 Windsor tornado, the Granby armored bulldozer incident.

Retention: Permanent

### 100.050 FIRE AND RESCUE RECORDS

Records pertaining to fire suppression and prevention and emergency rescue functions.

#### ***A. Administrative Records***

Applications for modification, alternative methods or materials and the final decision of the fire code official.

Retention: Permanent [IFC §104.6.4]

#### ***B. Apparatus Inspection Records***

Records of checks of vehicles, mechanical systems and equipment such as breathing apparatus.

##### ***1. Daily or Weekly Inspections***

Retention: 1 year

##### ***2. Monthly Inspections***

Retention: 3 years

#### ***C. Approval Records***

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

Records of approvals by the fire code official of certificates of occupancy, alarm systems, smoke and fire detection systems, and other matters regulated by the fire code.

Retention: Not less than 5 years or for as long as structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.1]

### ***D. Construction Documents***

Construction documents reviewed by the fire code official.

Retention: Until final approval of work [IFC §105.4.6]

### ***E. Fire Hydrant Records***

Documentation of locations, specifications, maintenance, testing and repair of fire hydrants.

Retention: 1 year after hydrant is replaced or removed from service

### ***F. Fire Records***

Records of fires within the jurisdiction, facts concerning the fires, statistics as to the extent of such fires and the damage they caused and other information required by the fire code official.

Retention: Not less than 5 years or for as long as structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.3]

### ***G. Incident Call or Run Sheets***

Retention: 5 years

### ***H. Incident Case Files***

Records pertaining to incidents and follow-up investigations, including incident reports, supplemental reports, photographs or video recordings, diagrams, copies of police or insurance reports, etc. [General Reference: IFC §104.10]

#### ***1. Arson With Fatality***

Retention: Permanent

#### ***2. Arson Without Fatalities***

Retention: 10 years

#### ***3. Misdemeanor***

Retention: 3 years

### ***I. Inspection Records***

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

Records of each inspection made, notices and orders issued and findings and disposition of each inspection; may include building plans or system specifications.

Retention: Not less than 5 years or for as long as structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [8 CCR 1507-11 5.4.1, IFC §104.6.2]

### ***J. Intelligence Files (Arson)***

Records containing information regarding individuals and groups potentially linked to arson investigations.

Retention: No longer than 5 years after obsolete or no longer relevant [28 CFR 23.20(h)]

### ***K. Requests for Service***

Retention: 3 years

## **100.060 HAZARDOUS MATERIALS ENFORCEMENT RECORDS**

Records relating to hazardous materials regulation, prevention, safety and incident response and investigation.

### ***A. Incident Case Files***

Records of hazardous materials incidents and investigations, including incident reports, copies of fire and rescue reports, narratives, memos, etc.

#### ***1. Criminal Hazardous Materials Incidents***

Retention: Permanent

#### ***2. Noncriminal Hazardous Materials Incidents***

Retention: 2 years after costs are recovered

### ***B. S.A.R.A. Tier II Reports – Fire Department's Copies***

S.A.R.A. Title III (EPCRA) Tier II emergency and hazardous chemical inventory forms submitted annually, or within 90 days of exceeding the EPCRA threshold, to the fire department by facilities that use or store chemicals requiring a material safety data sheet.

Retention: 2 years

## **100.070 IMMIGRATION STATUS REPORTING RECORDS**

### ***A. Arrest Reports – Possible Illegal Presence in the U.S.***

Reports made to U.S. Citizenship and Immigration Services (USCIS) regarding any person arrested that the law enforcement department believes is not legally present in

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

the United States; and reports to the Colorado Legislative Council of the total number of reports made to USCIS. [General References: SB 06-090; CRS 29-29-103]

Retention: 3 years after last contact

### ***B. Systematic Alien Verification for Entitlements (SAVE) Program Records***

Reports relating to verifications of U.S. citizenship status of applicants for local licenses, credentials, rebates, employment and/or benefits. Note: Reports to the federal government are filed electronically as part of the SAVE verification process, and some municipalities may retain reference copies.

Retention: 3 years

### **100.080 POLICE RECORDS** [General Reference: CRS 24-72-304]

#### ***A. Arrest Records***

Records pertaining to arrests, including cards, numerical files and register books.

##### ***1. Adult Offender Arrest Records***

###### ***a. Felony Arrests (Major Felonies and Violent Crimes)***

Cases such as arson with fatalities, homicides, kidnapping, deaths related to criminal acts, missing persons (excluding runaways), forgery and officers killed.

Retention: Permanent

###### ***b. Felony Arrests (Other)***

Other felony cases, special investigations related to cases such as aggravated assault, arson without fatalities and similar cases.

Retention: 10 years

###### ***c. Misdemeanor Arrests***

Misdemeanor cases, petty offenses, traffic offenses and similar cases.

Retention: 3 years

###### ***d. Sexual Assault Arrest Records***

Retention: 50 years

###### ***e. Sexual Assault on a Child Arrest Records***

Retention: Permanent [CRS 16-5-401]

##### ***2. Arrest and Booking Logs***

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Retention: 5 years

### **3. Expungement Records – Arrests**

Records of sealing or expungement of arrest records, retained with the expunged record.

Retention: Until sealed record is destroyed pursuant to this Retention Schedule

### **4. Juvenile Offender Arrest Records** [General Reference: CRS 19-1-304]

Retention: Until 19 years old

### **5. Traffic Accident Arrest Records – No Criminal Charges Filed**

#### **a. Fatal Traffic Accidents**

Retention: 10 years

#### **b. Non-Fatality Traffic Accidents**

Retention: 3 years

## **B. Case Records**

Case files, incident reports, offense reports, crime stoppers reports, activity summaries, accident reports, fingerprint cards and files, photographic records of suspects and persons convicted of crimes (including photographic prints and negatives), photographic records of crime scenes (including photographic prints and negatives), video and audio recordings of crime scenes and interviews with witnesses or suspects, lie detector test records and other records pertaining to cases handled by the police department.

### **1. Death Case Records – Noncriminal**

Retention: 10 years

### **2. Felony Case Records (Major Felonies and Violent Crimes)**

Cases such as arson with fatalities, forgery, unrecovered firearms, homicides, kidnapping, deaths, missing persons (excluding runaways) and officers killed.

Retention: Permanent

### **3. Felony Case Records (Other)**

Other felony cases, special investigations related to aggravated assault, arson without fatalities and similar cases.

Retention: 10 years [CRS 16-5-401]

### **4. Misdemeanor Case Records**

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## MUNICIPALITIES

Misdemeanor cases, petty offenses, traffic offenses and similar cases.

Retention: 3 years

### **5. Sex Offender Case Records**

Retention: Permanent

### **6. Sexual Assault Case Records**

Retention: 50 years

### **7. Sexual Assault on a Child Case Records**

Retention: Permanent [CRS 16-5-401]

### **8. Traffic Accident Arrest Records – No Criminal Charges Filed**

#### **a. Fatal Traffic Accidents**

Retention: 10 years

#### **b. Non-Fatality Traffic Accidents**

Retention: 3 years

### **C. Community Relations Records**

Records of outreach and public relations efforts, including routine requests for police department contact, follow-up, services, etc., not involving a police report; neighborhood mediation; police presentations; and similar community outreach efforts.

Retention: 2 years after completion

### **D. Crime Lab Records**

#### **1. Crime Lab Reports and Supporting Documentation**

Reports regarding crime lab work and findings, and supporting documentation such as laboratory request forms, vehicle hold/release sheets, sketches, etc.

Retention: Life of related police case file

#### **2. Logs – Crime Lab**

Automatic fingerprint identification system (AFIS) fingerprint logs, crime scene processing logs, laboratory fieldwork logs, laboratory work logs, marijuana testing logs, etc.

Retention: Permanent, as documentation of qualifications of crime lab technicians as expert witnesses

### **E. Criminal History Files**

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## MUNICIPALITIES

### **1. Felonies**

Retention: 10 years [CRS 16-5-401]

### **2. Homicides**

Retention: Permanent

### **3. Misdemeanors**

Retention: 3 years

## ***F. Evidence Records***

Records pertaining to the collection and storage of evidence collected at crime scenes and during police investigations. Note: Physical evidence, including DNA evidence, is destroyed in consultation with, and upon written authorization from, the district attorney. Since the retention and destruction of physical evidence related to crimes is determined by the police department in consultation with the district attorney, the retention of such physical evidence is therefore not covered in this Retention Schedule. Note: Retention periods apply provided that offenses are not affected by statute of limitations.

### **1. Chemical Blood Testing Reports**

Reports requested by the police department for chemical blood testing (such as DNA testing) to determine genetic markers, performed by CBI or other agencies.

Retention: Life of related case file or life of defendant, whichever is later [CRS 18-1-1101, et seq.]

### **2. Evidence and Property Audit Records**

Audit reports detailing the authorized destruction or disposal of property and evidence associated with police cases, including drugs, drug paraphernalia, weapons, currency, explosives, armored or bulletproof clothing, unlawful property, etc.

Retention: Until completion of next succeeding evidence and property audit

### **3. Handling and Storage of Evidence Records**

#### ***a. Case-Specific Evidence Logs***

Logs documenting the receipt, transfer and release of materials taken into evidence for specific cases, including property reports, release records, evidence tags and similar records.

Retention: Life of related case file or life of defendant, whichever is later [CRS 18-1- 1101, et seq.]

#### ***b. Evidence Logs Documenting Multiple Cases***

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## MUNICIPALITIES

Logs documenting the receipt, transfer and release of materials taken into evidence for multiple cases, including property reports, release records, evidence tags and similar records.

Retention: 7 years

### **4. Lie Detector Test Administration Records**

Records retained by the test administrator to document expertise in the administration of lie detector tests using the computer voice stress analyzer, polygraph and other lie detector test equipment.

Retention: Permanent

### **G. False Alarm Records**

Records of false alarms, warnings issued and user fee assessments; notifications of unreliable alarm systems, etc.

Retention: 2 years

### **H. Field Contact Records**

Records of contacts with businesses, complainants, juveniles, victims or witnesses after which no incident report is filed.

Retention: 3 years

#### **1. Recorded Interviews – Field Contacts**

Recorded interviews conducted during field contacts in which no incident report is filed.

Retention: 90 days if transcribed, or life of case file if not transcribed

### **I. General Orders**

Directives or standard operating procedures issued by the police chief governing the overall operation and administration of the police department.

Retention: Permanent

### **J. Intelligence Files (Police)**

Records containing information regarding individuals and groups.

Retention: No longer than 5 years after obsolete or no longer relevant [28 CFR 23.20(h)]

### **K. Internal Affairs Investigations and Police Action Reviews**

Records pertaining to internal investigations regarding police conduct or actions (i.e., reviews of use of force, pursuits, officer-involved traffic accidents, etc.), board of inquiry

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## MUNICIPALITIES

or internal affairs administrative inquiries and proceedings, and any subsequent disciplinary actions. Note: Substantiated investigations and substantiated review and disciplinary documentation should be transferred to the record copy custodian for personnel records to be retained or destroyed according to personnel policy unless there are conflicts with union policy.

Retention: 5 years

### ***L. License Plate Recognition Data***

Data and images recorded by means of automated license plate recognition systems (one or more mobile or fixed high-speed cameras combined with computer algorithms to convert images of registration plates into computer-readable data) used to capture license plate numbers for parking enforcement, booting, stolen vehicle identification or other law enforcement purposes.

Retention: 21 days for data, *except* that "hits" are retained for life of related case file

### ***M. Logs – Routine***

Listings tracking specific routine daily activities, such as alarm check logs, logs of court subpoenas served, logs of crimes in specific areas, criminal history check log sheets retained for National Crime Information Center (NCIC) audits, dispatch logs, DUI logs, home check logs, offense logs, traffic accident logs, welfare check logs, etc.

Retention: 2 years

### ***N. National Crime Information Center/Colorado Crime Information Center (NCIC/CCIC) Teletypes***

Informational teletypes received via NCIC and CCIC for entry to the police department's computer system; follow-up teletypes from other law enforcement departments.

Retention: 30 days

### ***O. Parole Card File***

Retention: Until no longer needed

### ***P. Prisoner Transport Records***

Retention: 2 years

### ***Q. Registered Sex Offenders*** [General Reference: CRS 18-3-412.5]

#### ***1. Information Request Forms – Sex Offenders***

Forms completed by parties interested in inspecting public information regarding sex offenders. [General Reference: CRS 16-22-112]

Retention: 2 years

#### ***2. Sex Offender Registration and Cancellation Forms***

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Notifications completed by convicted sex offenders regarding residence addresses and contact information. [General Reference: CRS 16-22-108]

Retention: 5 years after offender leaves jurisdiction

### ***3. Sexually Violent Predators – Public Notifications***

Notices given to the public regarding sexually violent predators in the community. [General References: CRS 16-22-108 and CRS 18-3-414.5]

Retention: Permanent

### ***R. Requests for Release of Information***

Requests for public release of information such as E-9-1-1 recordings, reports, incident histories, etc.

Retention: 2 years

### ***S. Ride-Along Program Records***

Records of police programs that allow citizens to ride along with police officers.

Retention: 3 years

### ***T. Seizure Fund Documentation***

Records relating to the fund for monies accrued as a result of court-ordered seizures and disposition of property connected to vice, narcotics and other crimes.

Retention: 7 years

### ***U. Statistical Files***

Card or other indexes for statistical reporting of data by class of crime and other statistical information.

Retention: 5 years

### ***V. Summonses and Complaints***

Duplicate copy of summonses and complaints.

Retention: 2 years

### ***W. Training Records***

Records documenting training for police personnel, including K-9 training records, firearms range scores, test scores and monthly training reports.

Retention: 5 years after employee's termination

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## MUNICIPALITIES

### ***X. Uniform Crime Report***

National Incident Based Reporting System (NIBRS) annual uniform crime report.

Retention: Permanent

### ***Y. Vehicle Impound Records***

Records documenting the impoundment of licensed and nonlicensed motorized vehicles and sports craft that have been taken into custody for violations of laws that govern their use, operation and ownership.

Retention: 2 years after vehicle is released to owner or otherwise disposed of

### ***Z. Victim Assistance and Counseling Records***

Case records, including contact sheets, relating to victim assistance and advocacy.

Retention: 2 years after completion of assistance

### ***AA. Video and Audio Recordings – Secured Police Facilities***

Video and audio recordings made in secured areas of jails, holding areas, booking areas or lock-ups.

Retention: To be determined administratively by law enforcement agency, provided that any pertinent recordings are retained until final resolution of any related potential or pending claim or litigation

### ***BB. Video Recordings – Vehicle and Officer Recording Systems***

Video recordings and logs made from police vehicle or officer-carried recording systems.

Retention: 30 days, *except* that portions of recordings relating to specific cases may be captured separately and retained as part of case record for life of case record

### ***CC. Weapons and Firearms Records***

#### ***1. Authorizations to Carry***

Records of types of firearms and weapons carried by officers indicating authorization to carry weapons, that the weapon has been checked, and that the officer qualifies to use it.

Retention: 2 years after weapon is no longer in use

#### ***2. Weapons Maintenance Records***

Records relating to in-house and external maintenance work on weapons.

Retention: 3 years

## **Cross References**

# RECORDS MANAGEMENT MANUAL

## MUNICIPALITIES

- Agreements and contracts – 40.030, Agreements and Contracts
- Ambulance districts – 40.320, Special District Records
- Billing records – 30.020, Accounts Receivable (A/R) Records
- Code enforcement records – 100.080.B.4, Misdemeanor Case Records
- Collective bargaining records – 90.050, Collective Bargaining Records
- Concealed weapons permits – 75.020.F, Permits Issued by the Municipality in General
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Equipment calibration, maintenance and testing – 35.010, Equipment Records in General
- Fire Code – 40.070.A, Codes Adopted by Reference
- Fire Code Board of Appeals – 05.040, Building Review Board Case Files
- Fire insurance rate maps – 40.180, Maps, Drawings and Supporting Documentation
- Hazardous waste – 25.020, Hazardous Waste Storage and Transport Records
- Licenses and permits – Schedule 75, Licenses and Permits
- Material safety data sheets – 25.030, Material Safety Data Sheets (MSDS)
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- S.A.R.A. Tier II reports submitted to CHPDE and Fire Department – 25.040, S.A.R.A. Tier II Reports – Submitting Facility's Copy
- Security records – 105.020, Security Records – Municipal Facilities
- Toxic sites – 25.060, Toxic Sites
- Traffic Code – 40.070.A, Codes Adopted by Reference
- Training and certification records – 90.070, Employee Records – Active and Terminated
- Vehicles and equipment – Schedule 35, Fleet and Equipment Records
- Warning systems – 35.010, Equipment Records in General

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## MUNICIPALITIES

### SCHEDULE NO. 105

#### RISK MANAGEMENT RECORDS

General Description: Records relating to risk management functions.

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#### 105.010 INSURANCE RECORDS

##### **A. Certificates of Insurance**

Documentation provided by insurance providers as proof of insurance coverage for specific purposes. Retention: 6 years after expiration or completion of insured work or action, whichever is later

##### **B. Claim Records**

Records of claims for damages by or against the municipality.

###### **1. Claim Records**

Statements of claims and completed claim forms.

Retention: 6 years after closure of claim

###### **2. Claim Reports**

Summary reports regarding losses and handling and disposition of claims.

Retention: 6 years

##### **C. Insurance Policies**

Documents issued by the insurance company to outline liability, theft, fire, accident, property damage and other coverage and risk control standards.

Retention: 6 years after expiration of policy, or after all claims made under policy are settled, whichever is later

#### 105.020 SECURITY RECORDS – MUNICIPAL FACILITIES

##### **A. Automated or Manual Access Control Records**

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Records generated by automated systems to show entry and exit from secured areas by authorized persons using an electronic badge or similar system to gain entry or exit, or records generated manually to document entry and exit to and from secured areas (i.e., entry and exit log sheets, etc.).

Retention: 2 years

### ***B. Recordings and Images Related to Security – Public Areas***

Video or audio recordings, biometric data or images from security or surveillance cameras, scanning systems or audio recording systems in public areas of municipal buildings or grounds. Security setups vary and recordings may be continuous, stop-frame or random use. Recordings or images may capture date and time indexing information.

Retention: 30 days

### **Cross References**

- Agreements and contracts – 40.030, Agreements and Contracts
- Bonds – 90.040, Bonds – Public Officials
- Claims – 80.010, Claims
- Correspondence and general documentation – 40.100, Correspondence and General Documentation
- Election areas surveillance recordings – 15.180, Surveillance Recordings – Election Areas
- Emergency planning records – 100.040, Emergency Planning and Response
- Employee insurance claims – 90.030.C, Employee Insurance Claim Records
- Litigation – Schedule 80, Litigation and Legal Counsel Records
- Policies and procedures – 40.220, Policies and Procedures Documentation
- Recordings in secured police areas – 100.080.AA, Video and Audio Recordings – Secured Police Facilities
- Reports – 40.290, Reports
- Rules, regulations and standards – 40.310, Rules, Regulations and Standards
- Unemployment insurance – 90.190, Unemployment Insurance
- Workers' compensation – 90.220, Workers' Compensation