

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 1

#### BUILDING AND STRUCTURE RECORDS

General Description: Records generally relating to structures and buildings. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

**Duplicate Copies: *Provided that no retention period is specified for duplicate copies, retain those 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.***

##### 1.10 Address History Files

Records maintained as address history files to provide a chronological record and running history of building-related activities for each address located within the special district. These files may include records listed elsewhere in the retention schedules, such as building and demolition permits, gas connection records, certificates of occupancy, building inspection reports, unsafe building actions, variances granted, zoning certificates and utility taps.

Retention: Permanent files, *except* follow retention schedules for purging of nonpermanent records

##### 1.40 Building and Other Uniform Codes

*See Schedule 7 Code Book Records.*

##### 1.50 Fire Code Board Case Files

Records pertaining to cases or appeals heard by bodies such as the Fire Code Board of Appeals or similar boards charged with interpreting code provisions relating to issues such as alternate building materials or methods of construction, and with review and decision-making authority regarding building, construction or similar matters.

Retention: 20 years

##### 1.60 Certificates of Occupancy

Documents issued to the special district by the county or municipality 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: Permanent

##### 1.70 Communication Tower Structures

*See Schedule 12 Permit Records.*

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### 1.90 Contractor's Licenses

See *Schedule 12 Licensing Records*.

### 1.140 Housing Rehabilitation Projects

See *Schedule 5 Grant Records* and *Schedule 7 Project Files*.

### 1.150 Inspection Records

#### ***Fire Code Inspection Reports***

Records of final on-site inspections done by the special district or by its agents to determine the compliance of building construction, electrical, plumbing, mechanical and other systems with requirements of the special district, uniform codes and all other adopted fire code standards adopted by the special district.

Retention: Permanent

#### ***Inspection Agencies***

See *Schedule 7* for applicable records, such as *Agreements and Contracts*.

### 1.160 Landmark and Historic Designations

Records relating to local, state or federal historic designations for buildings, structures or districts within the special district and preservation of historic structures.

Retention: Permanent

### 1.170 Mobile Home Standards

See *Schedule 7 Regulations and Standards*.

### 1.180 Policies and Procedures

See *Schedule 7 Policies and Procedures Documentation*.

### 1.200 Regulations – Building

See *Schedule 7 Regulations and Standards*.

### 1.210 Reports – Building Activity

Summary housing reports and statistical compilations tracking building activity on a monthly or annual basis, including reports compiled for the U.S. Census Bureau, used to monitor growth and track building trends. See also *Schedule 1 Inspection Records*; *Schedule 7 Reports*; and *Schedule 11 Census and Population Records*.

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### *Annual Reports and Compilations*

Retention: Permanent

### *Monthly Reports*

Retention: 1 year + current

### **1.230 Standards – Building**

See *Schedule 7 Regulations and Standards*.

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**SCHEDULE NO. 2**

**Reserved**

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 3

#### ELECTION RECORDS<sup>21</sup>

General Description: Records documenting the administration of special district elections conducted by the district and in coordination with the county. *The specified retention periods apply to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

**Contested Elections:** Destruction of nonpermanent election records is authorized at the end of the specified minimum retention period provided there was no contested election. However, *if the election is contested*, all election records must be retained for 25 months or until the contest has been finally resolved and all rights to appeal have expired, whichever is longer.

***Duplicate Copies:*** *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 3.10 Mail-in (formerly Absentee) Voter Records

Records documenting the casting of and accounting for mail-in ballots, including mail-in voter affidavits and oaths, applications for mail-in ballots, lists prepared by the designated election official of electors receiving mail-in ballots, mail-in ballot return envelopes and receipts of election judges for mail-in ballots and ballots cast by absentee voters. See also *Schedule 3 Ballots*.

Retention: 25 months after election

#### 3.20 Ballot Issue Comments

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

Retention: 25 months after election

#### 3.30 Ballots

The official list showing all candidates, ballot issues and ballot questions upon which an eligible elector is entitled to vote at an election, including ballots that are unused, voted, mail-in, defective, spoiled, replacement, or mailed and returned by post office as undeliverable to inactive voters in mail ballot elections.

Retention: 25 months after election or until time has expired for which the ballots would be needed in any contested proceedings, *except* retain one copy of ballot permanently in master election file.

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<sup>1</sup> CRS 1-7-802 requires the designated election official to preserve all election records and forms for at least twenty-five months after the election. Typically, a permanent file is retained by the designated election official for the preservation of election materials to be retained permanently

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### 3.40 Campaign Reports And Statements

Affidavits, reports and statements regarding campaign committees, contributions and expenditures, required by the provisions of Colorado law.

#### ***Candidate Affidavits***

Affidavits required by CRS 1-45-110 to be filed by candidates for special district office, certifying that the candidate is familiar with the Fair Campaign Practices Act.

#### ***Candidate Affidavits – Elected Candidates***

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

#### ***Candidate Affidavits – Unsuccessful Candidates***

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

#### ***Committee Statements of Organization***

Statements made regarding the registration of various types of election committees, required by CRS 1-45-108.

#### ***Candidate Committee Statements – Elected Candidates***

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

#### ***Candidate Committee Statements – Unsuccessful Candidates***

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

#### ***Issue Committee Statements***

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

#### ***Contribution and Expenditure Reports***

Reports of contributions and expenditures required under the provisions of CRS Title 1, Article 45 for elected and defeated candidates, independent expenditures, and issues committees.

#### ***Candidate (Elected) Committee Reports***

Reports of candidates and organized candidate committees required by CRS 1-45-108.

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

#### ***Candidate (Unsuccessful) Committee Reports***

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Reports of candidates and organized candidate committees required by CRS 1-45-108.

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

### ***Issue Committee Reports***

Reports of committees organized in support of or in opposition to election issues, required by CRS 1-45-108.

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

### **3.50 Certifications of Election**

#### ***Certificates of Votes Cast***

Certificates of election judges showing the votes cast for candidate by office.

Retention: 25 months after election

#### ***Certified Statement and Determination of Persons Elected***

Certification of the special district election results prepared by the designated election official.

Retention: Permanent

### **3.55 Coordinated Election Records**

Records generated with regard to the conduct and results of 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 Designated Election Official as the official record of the district's portion of the election.

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

County's abstract of votes cast (certification of election results) relating to special district issues that were on the coordinated election ballot.

Retention: Permanent

#### ***Ballot Certifications***

Designated election official's official certification to the county clerk of the ballot language for any measures appearing on the special district's portion of coordinated election ballot.

Retention: Permanent

#### ***Ballot Review Drafts***

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Drafts of ballot language and proposed ballot layout exchanged with special district.

Retention: 25 months after election

### 3.60 Election Judges Records

Records pertaining to the election service of election judges.

#### ***Acceptances to Serve***

Written acceptance of commitment to serve as election judge, alternate judge, or designated election official.

Retention: 25 months after election

#### ***Expense Statements***

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

Retention: Until audited

#### ***Instructions***

Written instructions issued to election judges regarding conduct of election.

Retention: 25 months + current

#### ***Lists of Election Judges***

Listings prepared by the designated election official of election judges and alternates names, addresses and telephone numbers.

Retention: 25 months, *except* retain one copy of list for use at next election

#### ***Oaths – Election Judges***

See *Schedule 3 Oaths and Affidavits*.

### 3.65 Mail Ballot Election Records

Records relating to mail ballot elections conducted by the special district pursuant to State law, 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, electronic or hard copy voter registration lists and property owner lists, written TABOR comments, and other mail ballot administrative records.

Retention: 25 months after election



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### ***Unused Replacement Ballots***

Ballots that were available but were not used for voters who did not receive a mail ballot for some reason, who had moved without changing voter registration address, etc.

Retention: After challenge period for the election has passed [CRS 1-7-802]

### **3.70 Maps – Election<sup>2</sup>**

Maps showing a district designations and boundaries for special district elections. See also *Schedule 7 Maps and Drawings*.

Retention: Permanent

### **3.80 Nomination Records**

Records relating to the submission of self nomination and acceptance forms or letters for special district office.[CRS31-1-804.3]

#### ***Protest to Self nomination and acceptance form or letter***

Retention: 25 months after election

#### ***Self Nomination and Acceptance Form or Letter***

#### **Elected Candidates**

Retention: 25 months after election, except retain for 4 years if term of office of elected official is 4 years

#### **Unsuccessful Candidates**

Retention: 25 months after election

#### ***Withdrawal from Nomination***

Retention: 25 months after election

### **3.90 Notices of Election**

Copies of notices required to be posted, published or mailed regarding the special district election, including the "ballot issue notice" required by Section 20(3)(b) of Article X of the State Constitution containing summaries of comments on ballot issues.

Retention: 25 months after election, except retain one copy permanently in master election file

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<sup>2</sup> Election maps have historical value for election analysis, as evidence of evolution and growth of the district and as documentation of District boundary changes.

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### 3.100 Oaths and Affidavits

Sworn statements made by electors or election officials, including oaths or affidavits made by judges, by electors requesting mail-in ballots, at the time of a challenge of an elector's right to vote, oaths of watchers and substitute watchers and similar documents.

Retention: 25 months after election or until time has expired for which election documentation would be needed in any contested proceedings

### 3.110 Petitions – Election

#### ***Inclusion/Exclusion Election Petitions***

Petitions for the conduct of an election to determine whether property should be included into or excluded from the district [CRS 32-1-401 and 32-1-501].

Retention: Permanent

#### ***Certifications of Petitions***

Certifications regarding the sufficiency or insufficiency of election petitions.

Retention: Permanent

#### ***Insufficient Petitions***

These are petitions that have been determined by the special district, or the courts, as being not complete in meeting the district and/or statutory requirements for submitting petitions.

Retention: 2 years after all appeals have been closed *except* retain one copy of representative pages permanently for historical purposes.

#### ***Protest Records – Petitions***

Records relating to protests submitted to the district, protest process and hearings and findings of the district regarding the protest.

Retention: Follow retention period for the specific type of petition

#### ***Recall Petitions***

Petitions submitted in accordance with legal requirements by citizens demanding the removal of an elected district official from office. [CRS32-1-906]

Retention: 3 years after submission, *except* retain one copy of representative pages for historical purposes in permanent election file, and *except* that unsuccessful petitions may be returned to petition representatives after the special district certification that the petition is insufficient.

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### 3.120 Polling Records

#### ***Poll Books***

A list kept by election judges of eligible electors to whom ballots are delivered or who are permitted to enter a voting machine for the purpose of casting their votes at an election.

Retention: 25 months + current

#### ***Registered Voter Lists***

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

Retention: 25 months after election

#### ***Poll Site Records***

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

Retention: 25 months after election, *except* retain contact information and summary of problems until after the next election

#### ***Property Owners Lists***

Lists of owners of property in the district provide to election judges for use in verifying elector eligibility.

Retention: 25 months after election

#### ***Voter Self-affidavit Signature Forms***

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

Retention: 25 months after election

### 3.130 Receipts and Accounting Forms

#### ***Receipts for Transfer of Election Materials***

Documentation for the receipt or transfer of election-related materials between the designated election official and election judges, including receipts for mail-in ballots, ballot boxes, registration book, etc.

Retention: 25 months after election

#### ***Statement of Judges***

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Statement of election judges accounting for ballots voted, spoiled, delivered to voters, unused and returned to the designated election official.

Retention: 25 months after election

### 3.135 Surveillance Recordings – Election Areas

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

Retention: 25 months after election

### 3.140 Tabulation Records

#### ***Abstract of Election***

Summary of election results posted in a conspicuous location by the judges of election.

Retention: 25 months after election

#### ***Tally Lists***

Worksheets included in poll books or prepared by the designated election official for use of the judges of election to keep track of votes cast at the time ballots are opened and read.

Retention: 25 months after election

#### ***Tabulation Test Results***

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

Retention: 25 months after election or until such time has expired for which the ballots would be needed in any contested proceedings

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**COLORADO SPECIAL DISTRICTS**

**SCHEDULE NO. 4**

**Reserved**

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 5

#### FINANCIAL RECORDS

General Description: Records documenting and ensuring accountability for the receipt and expenditure of public funds. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies:*** *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 5.10 Accounts Payable Records

Records that serve as the basis for payment of bills by the special district, including copies of bills paid, copies of checks, invoices, purchase orders and receiving reports, and correspondence with vendors.

##### ***Accounts Payable Records in General***

Retention: 6 years + current

##### ***Balance Sheets***

Retention: Until updated

##### ***Bills Paid***

Retention: 6 years + current

##### ***Invoices and Statements***

Retention: 6 years + current

##### ***Publication of Bills Paid***

See *Schedule 7 Affidavits of Publication.*

##### ***Reports of Bills Allowed***

Listings of bills presented to the governing body or other authority for payment authorization.

Retention: 6 years + current

##### ***Charge Slips and Credit Card Statements***

Documentation of charges for items such as printing and meals or credit card transactions.

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Retention: 2 years + current

### ***Credit Card Records***

Records of credit cards issued to the special district for district use.

Retention: 1 year + current after cancellation

### ***Expense Records***

Records maintained to document travel, mileage, claims for reimbursement and other expenses of district officials while on district business, including requests, authorizations, reimbursements and other similar transactions.

Retention: 2 years, provided audit has been completed

### ***Form 1099***

Sent to vendors such as contractors when the vendor's charges for services exceed \$600 for the year.

Retention: 4 years

### ***Petty Cash Records***

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

Retention: 1 year + current

### ***Purchasing Records***

See *Schedule 5 Purchasing Records*.

### ***Vendor Files***

Files maintained as a unit to track accounts payable activity for specific vendors, including information such as Federal Taxpayer Identification Number, name and address, correspondence, copies of checks, etc.

Retention: 6 years + current

### ***W-9 Forms***

Forms used to record information, including taxpayer identification number, for vendors, contractors, and service providers paid more than \$600 per year.

Retention: 3 years + current

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### 5.20 Accounts Receivable Records

Records that serve as the basis for collection of amounts owed by vendors, organizations and citizens having accounts with the special district, and documentation of billing and collection of monies.

#### ***Accounts Receivable Records in General***

Retention: 2 years + current

#### ***Balance Sheets***

Retention: Until updated

#### ***Cash Books, Receipts and Reports***

Cash book showing receipts, cash account pre-edit listing, daily cash reports and other documentation of receipt of monies for fees, parking tickets, rentals, registrations, etc.

Retention: 2 years + current

#### ***Cash Register Validation Tape***

Retention: 1 year + current

#### ***Fee Receipts***

See *Cash Books, Receipts and Reports* above.

#### ***Invoices and Statements Issued by the Special District***

Billings by the district to outside companies or institutions for damages, supplies, services or repairs, etc.

Retention: 6 years + current

#### ***Utility Billing Records***

See *Schedule 5 Utility Billing*.

### 5.30 Agreements And Contracts - Financial

See *Schedule 7 Agreements and Contracts*.

### 5.40 Audit Records

Records documenting external audits of the financial position of the district.



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### ***Agreements – Audit Services***

See *Schedule 7 Agreements and Contracts*.

### ***Audit Reports***

Annual or special reports prepared by external auditors examining and verifying the special district's financial activities or the financial activities of a fund, department or other component of the district government.

Retention: Permanent

### ***Audit Work Papers***

Documentation consisting of routine correspondence with auditors and copies of district records compiled for use by auditors in performing an audit.

Retention: 2 years + current after completion of audit

## **5.50 Bank Records**

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

### ***Bank Records – In General***

Retention: 2 years + current

### ***Bank Statements***

Monthly statements showing the amount of money on deposit to the credit of the district.

Retention: 6 years + current

### ***Check Records***

### ***Cancelled Checks***

Retention: 6 years + current

### ***Duplicate Copies of Checks***

Carbon copies or photocopies of checks issued and maintained solely as a quick reference source.

Retention: 1 year + current

### ***Register – Check***

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Chronological listing of check entries.

Retention: 6 years + current

### ***Stubs – Check***

Retention: 1 year + current

### ***Voided Checks***

Retention: 1 year + current

### ***Certificates of Deposit***

See *Schedule 5 Investment Records*.

### ***Deposit Pass Books***

Records of district savings account deposits, withdrawals and balances.

Retention: 6 years + current

### ***Deposit Slips***

Bank cashiers' slips showing amount and date of deposit of monies into district accounts.

Retention: 1 year + current

### ***Money Market Certificates***

See *Schedule 5 Investment Records*.

### ***Reconciliations***

Retention: 6 years + current

### ***Savings Bond Records***

See *Schedule 5 Investment Records*.

### ***Trial Balances***

Retention: 2 years + current

## **5.55 Bankruptcy And Foreclosure Records**

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

Retention: 6 years + current after the district recovers money owed or has no further interest in the proceeding.

### 5.60 Bids

See *Schedule 5 Purchasing Records*.

### 5.70 Billing Records

See *Schedule 5 Accounts Receivable Records and Utility Billing*.

### 5.80 Bond Issue Records

#### ***Bond Issue Files***

Records that document the authorization to finance improvements through bonded indebtedness and implementation of bond issues, including bond anticipation notes, general obligation bonds, revenue and refunding bonds, water bonds and special improvement bonds; usually include correspondence and general documentation, authorizations supporting financial arrangements, bond ratings, contracts or sales agreements, and sample copies or specimens of bonds sold as evidence of district indebtedness.

Retention: 2 years after final payment

#### ***Bond Issue Proceedings Books***

Certified record of proceedings relating to a bond issue, containing specimen (usually original) documents related to the approval process and issuance of bonds typically compiled in book form for presentation to the special district by the bond agent or bond counsel.

Retention: Permanent

#### ***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

#### ***Bond Registers and Ledgers***

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

Retention: Permanent

# RECORDS MANAGEMENT MANUAL

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### 5.90 Bonds - Public Officials

See *Schedule 15 Bonds*.

### 5.100 Budget Records

#### ***Budget – Final Adopted***

Final financial plan for the budget period established by the special district as approved by the governing body for the allocation and budgeting of all expenditures of the district.

Retention: Permanent

Duplicate Copies: Until superseded

#### ***Budget – Preliminary***

Draft version of the budget presented for public inspection and review prior to consideration of the budget by the governing body.

Retention: 1 year after adoption of final budget

Duplicate Copies: Until final budget is adopted

#### ***Budget Reports***

##### ***Monthly or Quarterly Reports***

Periodic reports regarding the status of receipts and disbursements in comparison to the adopted budget.

Retention: 2 years + current

##### ***Year-End Reports***

Summary annual budget reports compiled at year-end.

Retention: 6 years + current

#### ***Budget Work Papers***

Papers used to assist in the preparation and review and decision-making processes for district budget requests, including reports, budget instructions, worksheets, spending plans, budget proposals, financial forecasting reports and similar records.

Retention: 1 year + current

### 5.120 County Revenue Programs

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See *Schedule 5 Government Revenue Programs*.

### 5.130 Expense Records

See *Schedule 5 Accounts Payable Records*.

### 5.140 Federal Revenue Programs

See *Schedule 5 Government Revenue Programs*.

### 5.150 Fee and Rate Schedules and Supporting Documentation

Fee and rate schedules and supporting documentation justifying the determination of special district fees and rates; i.e., calculations, methodology for establishing the fee or rate, comparisons with other districts, projections of revenue based on recommended fees or rates, etc. See also 5.20, *Accounts Receivable Records* for fee collection records.

#### **Fee and Rate Schedules and Supporting Documentation (Except for Utility Rates)**

Retention: Retain current and previous schedules and associated supporting documentation

#### **Utility Rate Schedules and Supporting Documentation**

See 5.360.H, Rate Schedules and Supporting Documentation – Utility Billing.

### 5.160 Financial Guarantees

Records relating to the acquisition and release of various forms of financial guarantee -- including escrow accounts, letters of credit, liens, promissory notes — required by the district from other parties 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 project (if applicable) or release of the guarantee by the special district

### 5.170 Financial Reports

See *Schedule 5 Reports – Financial*.

### 5.180 Fixed Asset Records

Inventories and listings kept to track and control the fixed assets of the district, including buildings, real estate, office equipment, tools, machinery and other equipment.

#### **Acquisitions**

See *Schedule 16 Acquisition Records*.

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### ***Annual Reports***

Worksheets compiled for annual reports listing totals of all fixed assets, purchases and disposition of assets.

Retention: Until superseded

### ***Auction Records***

Summary reports and other records of district property sold at public auction.

Retention: 2 years + current

### ***Depreciation Detail***

Retention: 3 years + current

### ***Disposition Records***

Records of disposal of district property (nonreal estate) and unclaimed, abandoned or confiscated property such as bicycles and vehicles by 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 + current after disposition of property

### ***Fixed Asset Files***

Listings of all special district property (buildings and real estate), vehicles, equipment and furniture. Includes description, cost, date purchased, location, name of vendor and depreciation.

Retention: 10 years

### ***Inventories – Fixed Assets***

Listings of expendable and nonexpendable property of the district, including buildings, real estate, vehicles, furniture, equipment, supplies and other items owned or administered by the special district.

Retention: Until revised

### ***Surplus Property Records***

Documentation of the sale of surplus real property, including invitations, bids, acceptances, lists of materials, evidence of sales and related correspondence. See also *Schedule 16 Sale or Transfer of Property Records*.

Retention: 6 years after final payment

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### 5.190 Franchise Records

Records pertaining to the award, operation or termination of a license or franchise granting to any person or entity the right or privilege to erect, construct, operate or maintain upon, over or across the streets or alleys of the district a street railway, electric light plant or system, gasworks, gas plant or system, geothermal system, solar system, or telegraph or telephone system, or other similar services and the collection of franchise fees or occupation taxes from franchise holders

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

### 5.200 Fund Records

See also *Schedule 5 Accounts Receivable Records* and *Accounts Payable Records* for fund receipts and expenditures.

#### ***Fund Establishment***

Records pertaining to the creation and purposes of special funds that are separate from the General Fund.

Retention: Permanent

#### ***Trust Fund Records***

Documentation of bequests to the special district.

Retention: 2 years after trust fund closed

### 5.210 Government Revenue Programs

Records pertaining to governmental programs allocating state or federal revenue sharing funds to special district for specific purposes. See also *Schedule 5 Grants*.

#### **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: 1 year + current after completion of audit

#### ***Revenue Sharing***

Documentation and reports of the district's receipt and reallocation of federal revenue sharing funds, including public notices, expenditure records and reports, project records, financial and payroll records, etc. See also *Schedule 7 Project Files*.

Retention: 6 years + current

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### *Instructions for Completing Government Forms*

Retention: Until superseded or obsolete

### **State Revenue Programs**

#### **Conservation Trust Fund (Lottery)**

Records of allocations to and receipt by the district of lottery funds.

Retention: 6 years + current

#### **Specific Ownership Tax**

Retention: 6 years + current

### **5.220 Grant Records**

Files pertaining to applications for grants and the administration, monitoring and status of grants received by the district from private and governmental sources. See also 5.210, *Government Revenue Programs*.

#### **Audits – Grants**

See 5.40, Audit Records.

#### **Grants From the Special District**

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

Documentation of awarded grants from the special district, including records of grant application, performance under the grant, grant contracts and agreements, annual and final performance reports.

Retention: Duration of grant + 6 years

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

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

Retention: 1 year + current after rejection or withdrawal

#### **Grants to the Special District**

##### 1. Awarded Grants



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Documentation of awarded grants that are accepted by the district, including records of grant application, performance under the grant, grant contracts and agreements, annual and final performance reports.

Retention: Duration of grant + 6 years

### **Rejected Grants**

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

Retention: 1 year + current after rejection or withdrawal

### ***Reports – Grant-Funded Programs***

Periodic reports on the administrative and fiscal operations of federal- or state-funded programs compiled on a monthly, quarterly or semi-annual basis.

Retention: 3 years after completion of all applicable audits

### ***Supporting Documentation***

Background supplemental information relating to grant applications and administration.

Retention: 3 years after conclusion of the grant

## **5.240 Insurance Records**

### **Certificates of Insurance**

Documentation provided by insurance providers as proof of insurance coverage for specific purposes. See also 7.280.A, *Project Records* for Certificates of Insurance relating to Capital Projects.

Retention: 6 years after expiration

### ***Major Special District Projects***

Retention: 10 years after substantial completion

### ***Other Certificates of Insurance***

Retention: 6 years after expiration

### ***Claim Records***

Records of claims for damages made by the special district against other parties and made by other parties against the district.

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## COLORADO SPECIAL DISTRICTS

### ***Claim Records***

Statements of claims and completed claim forms. See also *Schedule 13 Claims*.

Retention: 6 years + current

### ***Claim Reports***

Summary reports regarding handling and disposition of claims made against the special district and/or its insurance company by other parties.

Retention: 6 years + current

### ***Public Entity Risk Management Pool Records***

See *Claim Records* above and *Insurance Policies* below.

### ***Employee Insurance Claim Records***

Records pertaining to employee claims for medical, dental, long-term disability and other insurance coverage. See also *Schedule 15 Benefits*.

Retention: 3 years + current after incident is closed and all rights of appeal have expired

### ***Insurance Policies***

Documents issued by the insurance company to outline liability, theft, fire, accident, property damage and other coverage and risk control standards for the special district under the insurance policy.

Retention: 6 years after expiration of policy, or after all claims made under the policy are settled, whichever is later

### ***Risk Management Policies***

See *Schedule 7 Policies and Procedures Documentation*.

### ***Unemployment Insurance***

See *Schedule 15 Unemployment Insurance*.

### ***Workers' Compensation***

See *Schedule 15 Workers' Compensation*.

## **5.250 Inventories**

See *Schedule 5 Fixed Asset Records*.

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## COLORADO SPECIAL DISTRICTS

### 5.260 Investment Records

Records documenting various investments made by the special district.

#### ***Bank Statements – Investments***

Retention: 2 years after investment ends

#### ***Certificates of Deposit***

Retention: 6 years + current after maturity

#### ***Certificates of Deposit – Registers***

Retention: 6 years after maturity

#### ***Investment Policies***

See *Schedule 7 Policies and Procedures Documentation*.

#### ***Money Market Certificates***

Retention: 6 years + current after maturity

#### ***Reports – Investment of Funds***

Retention: 10 years, provided audit has been completed

#### ***Savings Bond Records***

Retention: 6 years + current after final payment

#### ***Stocks and Bonds***

Retention: 6 years + current after disposition

#### ***Treasury Bills and Notes***

Retention: 6 years + current after maturity

### 5.270 Ledgers And Journals

#### ***General Ledger***

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

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Retention: Permanent

### **Journal Entries**

Retention: 6 years + current

### ***Subsidiary Ledgers and Journals***

Daily, monthly or quarterly transaction detail showing receipts and expenditures such as depositor payment amount, date, payee, purpose, fund credited or debited, and check number; provides backup documentation to General Ledger.

### ***In General***

Retention: 2 years + current

### ***Payroll Register – Year-End***

See *Schedule 15 Payroll Records*.

## **5.280 Loan Records**

Records of loans entered into by the special district. See also *Schedule 5 Grant Records*.

### **Approved Loans**

Retention: 6 years + current after the loan is paid

### **Rejected Loans**

Retention: 1 year + current after rejection or withdrawal

### ***Public Improvement Loans***

Significant loans obtained to finance public improvements.

Retention: Follow retention period specified for type of project records (see *Schedule 7 Project Records*) if a specific retention period is not specified by the loaning agency

### ***Routine Loans***

Minor loans obtained for purposes other than public improvements.

Retention: 6 years + current after payment and cancellation

## **5.290 Payroll Records**

See *Schedule 15 Payroll Records*.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### 5.300 Purchasing Records

Records pertaining to procurement of services or commodities, including purchase requisitions, purchase orders, vouchers, field orders, work orders, invoices and supporting documentation for purchases.

#### ***Purchasing Records in General***

Retention: 6 years + current

#### ***Agreements – Procurement***

See *Schedule 7 Agreements and Contracts and Project Files*.

#### ***Advertisements for Bids***

See *Schedule 7 Affidavits of Publication*.

#### ***Auction Records***

See *Schedule 5 Fixed Asset Records*.

#### ***Bids***

Bids, quotes and proposals regarding services and commodities received by the district in response to solicitations.

#### ***Accepted Bids***

Received from successful bidders.

Retention: 6 years + current after acceptance of the bid

#### ***Rejected/Unsuccessful Bids***

Received from unsuccessful bidders.

Retention: 2 years + current after contract is awarded or PO is issued

#### ***Unsolicited Bids***

Received from bidders without solicitation from the district.

Retention: 2 years + current

#### ***Lease-Purchase Records***

Records pertaining to the acquisition of property by lease-purchase transactions.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: Term of lease-purchase arrangement + 6 years

### ***Procurement and Purchasing Policies***

Directives, memoranda or manuals pertaining to policies established by the district for the procurement of commodities and services. See also *Schedule 7 Policies and Procedures Documentation*.

Retention: Permanent

Duplicate Copies: Until superseded

### ***Purchasing Control Forms***

Purchase orders, purchase requisitions, field purchase orders, vouchers and other forms documenting the procurement process.

Retention: 6 years + current

### ***Solicitations and Specifications***

Requests for proposals (RFPs), requests for quotations (RFQs), and other solicitations by the district for competitive bids, proposals or quotes for the provision of services or commodities; includes bid specifications.

Retention: 6 years + current

### ***State Bid List***

Retention: Until superseded

### ***Vendor Lists***

Listings of vendors providing goods and services to the special district, usually including names, addresses, phone numbers, description of goods or services provided.

Retention: Until superseded or obsolete

## **5.310 Rate Schedules**

See *Schedule 5 Fee and Rate Schedules*.

## **5.315 Rebate Program Records**

Records relating to rebate programs administered by special districts; includes rebate applications, correspondence, and other supporting documentation.

Retention: 1 year + current after the rebate is paid, provided that the records have been audited

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## COLORADO SPECIAL DISTRICTS

### 5.320 Receipts - Fees Paid

See *Schedule 5 Accounts Receivable Records*.

### 5.330 Reports - Financial

Reports created for internal use to document the status of funds, bank accounts, investments and other accounting of district funds, including financial projection reports.

#### ***Annual Financial Reports***

Statistical reports on the financial affairs of the district or specific departments, including a statement on the value of all district owned property and an accounting of all income and expenditures in relationship to the final budget.

Retention: Permanent

#### ***Audit Reports***

See *Schedule 5 Audit Records*.

#### ***Budget Reports***

See *Schedule 5 Budget Records*.

#### ***Comprehensive Annual Financial Report (CAFR)***

See 5.40.B, Audit Reports.

#### ***County Treasurer's Reports***

Periodic reports of the County Treasurer regarding the distributions of taxes collected on behalf of the special district, including information regarding taxes collected, interest and fees.

Retention: 10 years + current

#### ***Payroll Reports***

See *Schedule 15 Payroll Records*.

#### ***Revenue and Expenditure Reports***

Reports including information regarding cost analysis, itemized expenditures and revenue sharing.

Retention: 6 years + current

#### ***Departmental Expenditure Reports***

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: 1 year + current

### ***Financial Reports – Monthly***

Retention: 2 years + current

## **5.340 Tax Collection Records**

### ***Licenses Issued to Special District***

License certificates which are typically posted in the district office that are issued by other agencies to the district, including State sales tax license, withholding tax registration, State certificate of exemption, etc.

Retention: 1 year after expiration

### ***Property Tax Records***

Records pertaining to the district's property tax assessment, including mill levy certifications to the County, notices of assessed valuation received from the County, abstracts of assessment and registers or listings of property tax assessed on parcels of land in the district.

Retention: Permanent

### ***Sales and Use Tax Records***

Records pertaining to the collection and refund of sales and use tax, including sales tax collection reports.

### ***Applications – Sales Tax***

Retention: 2 years + current after business terminates

### ***Audits – Sales Tax***

Retention: 3 years + current

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

Retention: 5 years + current

### ***Master File – Sales Tax***

Retention: Until updated

### ***Motor Vehicle Sales Tax Receipts***

Retention: 1 year + current



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## COLORADO SPECIAL DISTRICTS

### ***Register – Sales and Use Tax***

See also *Schedule 5 Ledgers and Journals*.

Retention: Permanent

### ***Returns – Sales and Use Tax***

Retention: 3 years + current

### ***Transaction Journal/Log***

Record of sales and use tax daily transactions.

Retention: 2 years + current

### **Specific Ownership Tax Records**

Retention: See Schedule 5 Government Revenue Programs

## **5.350 Travel Expenses**

See *Schedule 5 Accounts Payable Records*.

## **5.360 Utility Billing**

Records relating to the billing of customers for utility services.

### ***Account History Listing***

Retention: 2 years + current after account closed

### ***Adjustment Records***

Records documenting account adjustments to customer accounts for water, sewer, power or other utility services provided by the district.

Retention: 2 years

### ***Billing Journals***

Utility billing journals and registers for water, sewer or electric service. See also *Schedule 5 Ledgers and Journals*.

Retention: 6 years + current

### ***Cash Receipt Journals***

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Retention: 2 years + current

### ***Initial Status Report***

Retention: 1 year + current

### ***Meter Records***

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

### ***Calibration and Testing Records***

Documentation of testing and calibration of district operated water and power meters for accuracy.

Retention: Life of equipment + 1 year

### ***Meter Books***

Used to record readings of customer's utility usage for billing purposes.

Retention: 2 years + current

### ***Meter Deposit Receipts***

Retention: 1 year + current

### ***Meter Installation, Maintenance and Repair***

Retention: 2 years

### ***Meter Inventory***

Retention: Until superseded

### ***Meter Location Records***

Retention: 1 year after removal of meter

### ***Meter Orders***

Retention: 1 year + current

### ***Meter Reading Exception Report***

Retention: 1 year + current

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## COLORADO SPECIAL DISTRICTS

### ***Meter Reading Sheets***

Retention: 2 years + current

### ***Nonpayment Billing Notices***

Records of notices sent to utility customers regarding nonpayment of utility billings and termination of service.

### ***Initial Notices***

Retention: 6 months

### ***Final Notice***

Retention: 1 year

### ***Security Deposit Records***

Records documenting customer payment of a security deposit to receive water, sewer, power or other utility services.

Retention: 2 years after refund or last action

### ***Service Orders***

#### ***New Service Orders***

Records documenting new utility service.

Retention: 1 year + current

#### ***Trouble Orders***

Records documenting utility service complaints and problems.

Retention: 1 year + current

#### ***Turn-Off Orders***

Records documenting the termination of utility service.

Retention: 2 years + current

### ***Statements***

Water and sewer billing statements or invoices.

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Retention: 3 years + current

### **Utility Rate Schedules and Supporting Documentation**

See 5.360.H, Rate Schedules and Supporting Documentation – Utility Billing.

### **Utility Rate Schedules and Supporting Documentation**

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

1. Flat Rate Documentation

Retention: Until metered rates are established and billed

2. Metered Rate Documentation

Retention: 3 years + current

### **5.370 Warrants/Checks**

See *Schedule 5 Accounts Payable*.

### **5.380 Worksheets - Financial**

Documents such as rough notes, calculations or drafts assembled or created and used to prepare or analyze other documents; spreadsheets, worksheets, preparatory notes, tentative financial estimates and projections, and other documentation of a preliminary or deliberative and transitory nature. See also *Schedule 7 Worksheets and Drafts*.

Retention: Until no longer needed

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## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 6

#### FLEET AND EQUIPMENT RECORDS

General Description: Records documenting the acquisition and operation of district owned or leased vehicles and equipment. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies***: *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### **6.10 Agreements - Acquisition, Lease, Maintenance And Service**

See *Schedule 7 Agreements and Contracts.*

#### **6.20 Auction Records**

See *Schedule 5 Fixed Asset Records.*

#### **6.30 Bills Of Sale**

Bills of sale documenting acquisition or disposition of vehicles or equipment by the special district.

Retention: Until after audit of records pertaining to disposition of vehicle or equipment

#### **6.40 Communication Systems Licenses**

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

Retention: 1 year after expiration of license

#### **6.50 Computer System Records**

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

##### ***Computer Backup Documentation***

Documentation related to regular computer records backups.

Retention: 1 year after superseded or obsolete

##### ***Computer System Maintenance Records***

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Documentation of maintenance of district computer systems.

Retention: Life of system or component + 1 year

### ***Computer System Program Records***

Documentation pertaining to development, installation, modification, troubleshooting, operation and removal of software from district computer systems; records required to plan, develop, operate, maintain and use electronic records; system specifications, file specifications, codebooks, record layouts, user guides and output specifications.

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

### ***Computer System Security***

Records documenting security of the district's computer systems, including employee access requests, passwords, access authorizations and similar documentation.

Retention: 3 years after superseded

### ***Computer System Wiring***

Documentation of the wiring of the district's 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: Current and previous versions

### ***Electronic Mail***

See *Schedule 7 Electronic Records*.

### ***Software Management***

Documentation of the use of software in district information systems, including records of software purchases, inventories, software and site licensing, copyright compliance and upgrades.

Retention: 2 years after disposal or upgrade of software

### ***Website Development and Evolution***

Documentation of development and changes to the district's website.

Retention: Recommend that the last two iterations of the website be retained if possible.

## **6.60 Equipment Records**

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## COLORADO SPECIAL DISTRICTS

Records pertaining to major mechanical systems in district owned facilities, including fire and water detection alarm systems; heating, ventilation, air conditioning (HVAC) and similar mechanical systems; disaster warning systems; elevators; sump pumps; power generators; boilers etc.

Retention: Life of equipment + 1 year

### 6.70 Fuel Records

Records pertaining to fuel usage by district vehicles and equipment, including periodic fuel usage reports.

Retention: 2 years

### 6.80 Insurance Coverage

See *Schedule 5 Insurance*.

### 6.90 Inventories - Fleet And Equipment

Listings of vehicles, equipment and similar property owned by the special district. See also *Schedule 5 Fixed Asset Records – Inventories*.

Retention: Until revised

### 6.100 Lease-Purchase Records

See *Schedule 5 Purchasing Records*.

### 6.110 Maintenance And Safety Records

#### ***Driver Vehicle Inspection Reports***

Vehicle inspection reports and documentation of corrective actions taken by motor carriers or their agents with regard to defects or deficiencies noted during the inspection prior to operation of a motor vehicle. Note: A legible copy of the last vehicle inspection report is to be carried in the vehicle. See also *Schedule 6 Vehicle Histories*.

Retention: 3 months [49 CFR 396.11 and 49 396.13]

#### ***Inspection and Maintenance Documentation – Public Safety***

Records and reports pertaining to maintenance and inspections performed for public safety vehicles and equipment.

Retention: Life of unit + 1 year

#### ***Work Orders***

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See *Schedule 6 Work Orders*.

### 6.120 Manuals - Vehicle And Equipment

Manuals provided by the vendor regarding specifications and proper installation, operation and maintenance of vehicles or equipment.

Retention: Life of unit + 1 year

### 6.130 Office Equipment Records

Records pertaining to the acquisition, installation and operation of office equipment used by the district. See also *Schedule 6 Computer System Records*.

Retention: Life of equipment + 1 year

### 6.140 Policies And Procedures

See *Schedule 7 Policies and Procedures Documentation*.

### 6.150 Purchasing Records

See *Schedule 5 Purchasing Records*.

### 6.160 Telephone System - District Buildings

Information pertaining to the acquisition, installation and operation of the internal telephone system used at the district building and other district facilities.

Retention: Life of system + 1 year

### 6.170 Unclaimed Personal Property

See *Schedule 5 Fixed Asset Records – Disposition Records*.

### 6.180 Vehicle Histories

Records outlining the acquisition and maintenance history of a vehicle, often stored in the vehicle. See also *Schedule 6 Maintenance and Safety Records*.

Retention: Life of vehicle + 1 year

### 6.190 Vehicle Registration Certificates

Documentation issued by the County motor vehicle department providing information regarding vehicle licensing and ownership, ownership taxes paid and vehicle identification number.

Retention: Until superseded or disposition of vehicle



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## COLORADO SPECIAL DISTRICTS

### 6.200 Vehicle Titles

Title proving ownership of motor vehicles owned by the special district.

Retention: Transfer to new owner upon disposition of vehicle

### 6.210 Warranties

Records of manufacturer's warranties and guarantees relating to operation or replacement of vehicles, equipment or components.

Retention: Life of equipment or expiration of warranty + 1 year, whichever is later

### 6.220 Work Orders

Documentation of requests and authorizations for work performed with regard to vehicles and equipment. See also 6.180, *Vehicle Histories*.

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

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## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 7

#### GENERAL ADMINISTRATIVE RECORDS

General Description: General administrative records include those for which the "record" copy is kept by the district or another office and for which duplicate copies are widely distributed throughout the organization for reference or informational purposes. This schedule also addresses records that are typically kept by any number of departments in an organization, such as project records. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies:*** *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 7.05 Administrative Proceedings Records

Records of formal administrative proceedings conducted by district staff (possibly subject to appeal to the governing body or the courts) in accordance with law to make administrative rulings or determinations regarding a variety of matters. *See also 3.110 Petitions - Election - Protest Records.*

Retention: 2 years + current provided all rights of appeal have expired.

#### 7.10 Affidavits Of Publication

Proof of publication provided by newspapers regarding publication of public hearing notices, bid solicitations, bond redemption notices, payment of bills, etc. Affidavits of publication are also sometimes known as "legals" or "proofs."

Retention: 6 years + current, unless it provides the only existing copy of a permanent document.

#### 7.20 Agreements And Contracts

Agreements and contracts of various kinds that document some form of agreement that is enforceable by law between the special district and other parties, including but not limited to intergovernmental agreements, memoranda of understanding, franchise agreements, lease agreements, professional services agreements, etc. *Note: See other Schedules for various types of agreements and contracts.*

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

#### 7.30 Associations And Organizations

*See Schedule 7 External Groups and Agencies and Memberships.*

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### 7.40 Awards And Honors

Awards and honors received by the special district, departments or district programs from various public or private sources.

Retention: Permanent

### 7.50 Service Plan/Statement of Purposes Records

#### ***Service Plan Proceedings***

Records relating to the adoption, modification or repeal of the district Service Plan or provisions of the Service Plan. See also *Schedule 3 Petitions – Election*.

Retention: Permanent

### 7.60 Code Book Records

#### ***Codes Adopted by Reference***

Includes, model traffic code, uniform building and construction codes, fire codes and supplements to such codes, and other similar codes adopted by resolution of the special district.

Retention: Retain 1 copy permanently for historical purposes

Duplicate Copies: Until superseded

### 7.70 Committees - Internal

Records of committees, task forces or other types of groups composed of members of the staff and/or other district entities that meet on an ongoing basis or that are set up for specific purposes. Examples include staff meetings, employee safety committees, teams established to work on district issues, etc.

#### ***Ongoing Committees***

Retention: 2 years + current, provided records have no enduring value

#### ***Special Committees***

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

### 7.80 Complaints, Routine Service Requests And Nonbinding Petitions

Communications of various types that convey objections, dissatisfaction or disagreement with actions or positions taken or not taken by the district; routine requests for service or information; and petitions with no legal effect that are submitted to the district to express the opinions of the signers. See also *Schedule 8 Minutes and Supporting Documentation*.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: 1 year + current after response or action by the district

### 7.90 Correspondence And General Documentation

*Correspondence* is a written communication that is sent to or received by 1 or more individuals via the U.S. mail, private courier, facsimile transmission or electronic mail (see *Schedule 7 Electronic Mail*), including letters, postcards, memoranda, notes, telecommunications and any other form of addressed, written communications that are sent or received by the district. The term *general documentation* is intended to cover a wide variety of records created in the normal course of business.

#### ***Calendars and Notes***

Records kept to document and facilitate the routine planning and scheduling of meetings, appointments and similar activities; includes calendars, appointment books, telephone messages, notes, diaries and similar records with routine content.

Retention: 1 year

#### ***Enduring Long-Term Value***

Documentation or correspondence with enduring and 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 relating to the special district or the community; and other similar records and documentation.

Retention: Permanent

#### ***Routine Value***

Operating documentation that is routine and contains no significant administrative, legal, fiscal, historical, informational or statistical value. Includes routine letters or memoranda sent and received, reading or chronological files that are kept solely for convenience and contain duplicates of memos or letters that are also filed elsewhere, routine requests for information, transmittal documents, etc., and includes e-mail.

Retention: 1 year + current

#### ***Transitory Value***

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

Retention: Until material has been read

### 7.100 Electronic Records

#### ***Computer-Maintained Records***

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## COLORADO SPECIAL DISTRICTS

Records manipulated and stored using computer technologies.

Retention: Follow the retention schedule for the specific type of record

### ***Electronic Mail***

Electronic mail is an electronic message that is transmitted between 2 or more computers or electronic terminals, whether or not the message is converted to hard copy format after receipt and whether or not the message is viewed upon transmission or stored for later retrieval, including electronic messages that are transmitted through a local, regional or global computer network [CRS 24-72-204.5].

Retention: Follow the retention schedule for the specific type of record

### **7.110 Event Records**

Records pertaining to promotion and organization of special and historic community events or celebrations in which the district has a role, such as festivals, fairs, rodeos, 4<sup>th</sup> of July celebrations, pioneer days, Christmas lighting, etc.

Retention: 2 years after event concludes, *except* retain records documenting significant aspects of the event permanently

### **7.120 External Groups And Agencies**

Records such as meeting agendas and minutes, studies and reports and other material provided to the district for courtesy or informational purposes from associations, organizations, groups and agencies that are not part of the special district organization but which have some form of association or relationship with the special district. See also 7.200, *Memberships* and 7.365, *Special District Records*.

Retention: Until no longer needed for special district reference or informational purposes

### **7.130 Forms - Blank**

Blank forms are not considered to be records and should be separated from the district's 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 a master forms file is maintained

Duplicate Copies: Until superseded

### **7.140 General Subject Files**

Files containing correspondence, reports, technical papers, studies, reference materials and other records related or received in the general administration of a program or in the daily management of departments or offices.

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### ***General Administrative Records***

Records of a general administrative nature that are created or received in the course of administering programs, including daily, weekly or monthly activity reports which are summarized in an annual report. See also *Schedule 7 Program Records and Reports*.

Retention: 1 year + current or until no longer needed for reference

### ***Housekeeping Files***

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

Retention: Until no longer needed for reference

### ***Policy and Program Development Records***

Records documenting the formulation and adoption of policies and procedures and the functions of the district or its departments. Includes narrative or statistical reports, related correspondence on program activities, organizational charts and mission statement studies regarding district or department operations, and records related to significant events in which the special district, departments or individual offices participated. See also *Schedule 7 Program Records*.

Retention: Permanent

### ***Technical or General 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 to be part of the office's records. See also *Schedule 7 External Groups and Agencies*.

Retention: Until no longer needed for reference

## **7.150 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.

Retention: Until no longer needed for reference

### ***Internal***

See *Schedule 8 Governing Body as Another Decision-Making Body*.

## **7.160 Mailing And Distribution Records**

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Documentation of transactions with the U.S. Postal Service or private carriers.

### ***Certified Mail Return Receipts***

Receipts returned by the post office to document that the recipient received a mailing sent by the special district.

Retention: 2 years after matter referenced in mailing is concluded

### ***Envelopes***

Envelopes that contained communications received by the district.

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

### ***Mailing and Distribution Lists***

Lists of names and addresses compiled for various mailings, such as billings, notifications, community outreach and other administrative purposes.

Retention: Until superseded or obsolete

### ***Meeting Notification Lists***

Listings kept 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

### ***Record of Mailing***

Documentation of mailing dates, content of mailings and addressees for mailing sent by the special district for various purposes.

Retention: 2 years

### ***Undeliverable Mailings***

Mailings (excluding mailed ballots) sent by the special district that were returned as undeliverable.

Retention: 2 years after matter referenced in mailing is concluded

## **7.170 Manuals And Handbooks**

See *Schedule 6 Manuals – Vehicles and Equipment* and *Schedule 7 Policies and Procedures Documentation*.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### 7.180 Maps And Drawings

Wide range of maps, drawings, architectural, cartographic and engineering records, including maps, charts, photomaps, field survey notes, map history case files and map and drawing finding aids; graphic representations at reduced scale of selected physical and cultural features of the surface of the earth; architectural and engineering drawings depicting concepts and precise measurements needed to plan and build static structures, such as buildings, bridges and streets; design and construction drawings for major special district projects; maps and drawings stored and generated by Geographic Information System (GIS) and computer-aided design (CAD) systems; "as built" drawings of district facilities; inclusion and development plats and plans; various construction drawings and renderings; special district boundary maps, election district maps, USGS topographical maps of the area; and other similar documents.

Retention: Permanent

Duplicate Copies: Until superseded or no longer needed for reference

#### ***GIS Records***

Geospatial data that is used to describe a particular location, area or feature. Records include software, input (including electronic source data and data from source documents), data in electronic format, output to paper, disk, tape or other storage medium generated by the system, and documentation needed to facilitate human understanding of the system.

#### ***Back-ups and Historical Snapshots – GIS***

Back-up records retained for disaster recovery purposes and historical snapshots (electronic format) retained for historical and reference purposes containing all GIS data layers and associated attribute files, GIS user production areas, the operating system and other miscellaneous software.

#### ***Back-ups for Disaster Recovery Purposes***

##### ***Daily Back-up***

Retention: 2 weeks

##### ***Monthly Back-up***

Retention: 1 year

#### ***Replicate Copies***

Copies retained on other work unit servers, in offsite data warehouse, on "read-only" district system, or elsewhere, either onsite or offsite.

Retention: Until superseded by new version of back-up

#### ***Historical Snapshots***



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Retention: Permanent

### ***Data Documentation and Metadata***

Records created during development or modification of an automated system, which are necessary to access, retrieve, manipulate and interpret data in that system and records that explain the meaning, purpose, structure, logical relationships and origin of the data elements. Data documentation includes data dictionaries (containing information about data layers, format and other documentation), file layouts, code books or tables, definition files and information regarding the retention period for the data and associated data documentation as well as information regarding the frequency of historical snapshots of the data and data documentation. Data documentation includes metadata (data about the data), i.e. the description of the data resources, its characteristics, location, usage, etc. Metadata is used to identify, describe and define user data.

### ***Condensed (Temporary) Metadata***

Temporary generic information that provides a dataset list (Word document) and basic information about datasets, pending the storage of "real" metadata with datasets on the GIS; includes dataset name, definitions and descriptions, data locations, significant items in attribute (tabular) data, etc.

Retention: Until superseded by metadata stored on GIS

### ***Data Documentation and Metadata – Nonpermanent GIS Records***

See also *Datasets and Data Files – Temporary*. Note: Obsolete temporary datasets are to be purged from the system prior to each annual GIS snapshot.

Retention: 1 year after superseded, or until deletion of database

### ***Data Documentation and Metadata – Permanent GIS Records***

This retention schedule applies only to documentation relating to databases containing permanent information. Important Note: Permanent data and its associated metadata and data documentation is retained permanently only in its most updated form unless the dataset is to be captured at specific points in time via a historical snapshot. See also *Datasets and Data Files*.

Retention: Until superseded

### ***Datasets and Data Files – Permanent***

A *dataset* is group of related records that are organized and treated as a unit or any set of data that has a common theme or similar attributes. The term is used interchangeably with the term *data file*. Datasets are part of the GIS database. A data layer refers to a conceptual grouping of data that share common characteristics, such as a layer composed of base or thematic data, e.g. roads (base) or wildlife habitat (thematic). Geographic data combines and links graphic representations of features or events found on the earth with corresponding tabular (attribute) data. Important Note: Permanent data is retained permanently only in its most updated form unless the dataset is to be captured at specific points in time via a historical snapshot.

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### ***Aerial Photograph and Image Datasets***

Photographs and digital images of the earth that have been taken from airborne vehicles to evaluate, measure or map selected features of the landscape.

Retention: Until superseded

### ***Base Datasets***

Core data working files that are sets of information providing a background orientation for another layer of primary focus. Examples: ground and water features (roads, streams, lakes, canals, railroads, etc.) and parcels, addresses, quarter sections, etc.

Retention: Until superseded

### ***Building and Structure Datasets***

Building footprints, public buildings, building inspection zones, building permits, etc.

Retention: Until superseded

### ***Business Information Datasets***

Business locations, licensed establishments, etc.

Retention: Until superseded

### ***Census Datasets***

Census block groups, census tract boundaries, census update boundaries, etc.

Retention: Until superseded

### ***Communication System Datasets***

Fiber optic network installations.

Retention: Until superseded

### ***Emergency Dispatch Datasets***

Emergency telephone dataset used for emergency services dispatch.

Retention: Until superseded

### ***Engineering Datasets***

Street standards and facilities, etc.

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Retention: Until superseded

### ***Environmental Datasets***

Geologic data, soils data, radon data, etc.

Retention: Until superseded

### ***Facilities Datasets***

Community facilities locations, district buildings and facilities, natural areas, parks, protective services facilities, public art locations, school locations, trails, pedestrian and bicycle trails, etc.

Retention: Until superseded

### ***Jurisdictional Boundary Datasets***

Special District limits, election boundary maps, boundary maps of political subdivisions and taxing districts, enterprise zones, historic districts, protective services patrol and enforcement areas, school district boundaries, urban growth area maps, zip code boundaries, other special district, etc.

### ***Boundaries – Special District Jurisdictional Units***

Retention: Until superseded

### ***Boundaries – Other Jurisdictions***

Retention: Until superseded

### ***Land Use and Planning Datasets***

Inclusions and exclusions, pending and approved developments, neighborhood planning areas, habitat data, current and proposed land uses, corridor study data, airport impact data, comprehensive plan (Structure Plan) data, transit routes, travel corridors, vacant land inventories, current and proposed zoning, zoning violations, etc.

Retention: Until superseded

### ***Stormwater and Flooding Datasets***

Base flood elevations, storm drainage basins, floodplains and floodways, historic flooding data, facility inventories, monitoring system data, etc.

Retention: Until superseded

### ***Transportation System Datasets***

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Alley and street system data, bicycle and bus routing data, master street plan, street maintenance data, traffic flow data, etc.

Retention: Until superseded

### ***Datasets and Data Files – Temporary***

#### ***Assessor Datasets***

GIS data layers containing property or land ownership information obtained from the County Assessor.

Retention: Until superseded

#### ***Symbol Datasets***

Special District logo, highway marker symbols, parking lot symbols and similar mapping symbols used for printing purposes.

Retention: Until superseded

### ***Temporary Data – In General***

Datasets or data subsets created for one-time or short-term use or for the creation of various versions of mapping products.

Retention: 30 days after use, unless the customer requests that the temporary dataset be retained for possible future use. Note: Temporary datasets will appear on periodic computer back-up tapes, and those that are obsolete should be purged from the system before capturing the annual historical snapshot of GIS.

#### ***Fee Collections***

Records of orders and receipts for payment from external customers for mapping products.

Retention: 2 years + current

#### ***Finding Aids***

See *Data Documentation and Metadata*.

#### ***Policy Documentation - GIS***

Records of GIS policies including those covering access and security, systems development, data retention and disposition, data distribution, rules governing issuance of data, and data ownership, etc.

Retention: Permanent

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### ***Processing Files***

System logs and other processing files (electronic or printed on demand), including work files, test files, input/source files, intermediate input/output files, valid transaction files, documentation of users and operations, and audit trail files.

Retention: Follow system schedule

### ***Source Documents – GIS***

Raw data or documents or "source records" containing images and/or data provided to GIS in hard copy, microform or electronic format. Note: Metadata should include information regarding the source of the data.

### ***Externally Acquired Source Material***

GIS input and auto cad system input regarding plats and subdivisions, field book information, legal descriptions, images of plats, data and other source material acquired from other agencies and organizations.

Retention: Until uploaded to GIS, provided source of data is noted in data documentation

### ***Internally Acquired Source Material***

### ***Replicate Source Data – District Departments***

Retention: Until uploaded to GIS

### ***Surveying Source Data***

Special District surveyor's reports and field notes from property surveys used to identify monuments, landmarks, buildings, etc. Engineering control and survey point data. Legal descriptions developed from surveys and surveying data returned from field instruments including horizontal angles, slope distance, horizontal distance, zenith angles, sun observations, drawings, etc.

Retention: Until data is transferred to GIS

### ***Standards***

Requirements that are intended to make hardware, software and data compatible and that cover data capture, accuracy, sources, base categories, output, and data element dictionaries.

Retention: Life of GIS

### ***Website Records***

Annual snapshot of GIS web page (electronic format).

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Retention: Permanent

### 7.190 Maps - Informational

Maps that are acquired from external sources and are used for district reference and informational purposes for the district or the public, such as county maps.

Retention: Until superseded or no longer needed for reference

### 7.200 Memberships

Records of memberships that are paid for by the district for district officials, employees or the district as an organization in professional associations and organizations such as the Special District Association of Colorado, the Association of Records Managers and Administrators, the Colorado State Fire Chiefs Association, and similar professional or county/municipal/special district associations and organizations.

Retention: 2 years

### 7.210 Minutes

See *Schedule 4 Minutes and Supporting Documentation*; *Schedule 7 Committees – Internal*; and *Schedule 8 Minutes and Supporting Documentation*.

### 7.220 News Clippings

See *Schedule 9 Scrapbooks*.

### 7.230 News Releases

See also *Schedule 7 Public Relations Records*.

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

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

Retention: Permanent

#### ***Releases – Routine***

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

Retention: 3 years + current

### 7.235 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 special districts's response to or denial of the request.

Retention: 1 year + current after request is answered

### 7.240 Organization Files

Records that contain organization charts, reorganization studies and similar information that illustrates or provides a detailed description of the arrangement and administrative structure of the special district.

Retention: Permanent

### 7.250 Petitions, Objections And Remonstrances

See *Schedule 7 Complaints, Routine Service Requests and Nonbinding Petitions; Schedule 7 Correspondence and General Documentation; and Schedule 3 Petitions – Election.*

### 7.260 Policies And Procedures Documentation

Written instructions, rules and guidelines in manual form documenting current and past authorized district policies and procedures, including departmental or organization-wide directives, policy or operations manuals, instruction manuals, handbooks and memoranda setting out responsibilities and guidelines or outlining policies and procedures. See also *Schedule 7 General Subject Files – Policy and Program Development Records.*

#### ***Clerical Manuals – Routine***

Retention: 2 years after superseded or obsolete

#### ***Manuals from External Sources***

Retention: Until superseded or no longer needed

#### ***Policies and Procedures Documentation – In General***

Documentation, including written materials such as personnel policy manuals and standard operating procedures, that would be useful in establishing past policies or procedures in liability cases, personnel disputes and other circumstances.

Retention: Permanent

Duplicate Copies: Until superseded

### 7.270 Program Records

Records pertaining to ongoing or special events or activities held at district facilities and programs provided by the district as recreational or cultural amenities for the community. See also *Schedule 7 General Subject Files – Policy and Program Development Records.*

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### ***Districts***

Records of other districts that provide program services to district residents, such as recreation districts, library districts, etc. See 7.365 *Special District Records*.

### ***Facility and Program Use Records***

Records relating to registration and admission to programs sponsored by the special district, room and facility reservation sheets, permits for facility or park usage, annual or seasonal passes for recreational programs, program and event descriptions, documentation of public use of facilities for which formal registrations or permits are required, etc.

Retention: 1 year + current

### ***Fees and Rates***

See *Schedule 5 Accounts Receivable Records and Fee and Rate Schedules*.

### ***Liability Waivers***

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

Retention: 3 years + current

### ***Library Records***

Records pertaining to the operation of a library as a special district.

### ***Book Requisitions***

Retention: 1 year + current

### ***Catalogs***

Finding aids in card or computer form that provide patrons with access to library holdings.

Retention: Until superseded or obsolete

### ***Circulation Statistics***

Retention: Permanent

### ***Gift Register***

Retention: Permanent

### ***Interlibrary Loan Transactions/Reciprocal Borrowing Sheets***



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Retention: 3 years + current

### ***Patrons' Registration Forms***

Retention: 6 years + current

### **Museum Records**

Records documenting the acquisition and ownership of museum materials in museums, local history collections, and similar collections or repositories owned and operated by the special district, 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; incoming loan and outgoing loan forms documenting the chain of custody of materials 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

### ***Other Programs Sponsored by Special District***

Documentation needed for reference in developing future programs, including program flyers, press releases, etc. Examples of district programs include recreation, senior citizen and youth programs. See *Schedule 7 General Subject Files – Policy and Program Development Records*.

### ***Support Groups – Special District Programs***

Groups organized in support of district programs, such as senior citizen community groups, youth groups, Friends of the Library or Museum, and similar groups. See *Schedule 7 External Groups and Agencies*.

### ***Sister City Program***

Records of participation of the district in sister programs with cities/districts in other countries, including documentation of selection of sister cities, administration of the program, exchange visits, photographs and related documentation.

Retention: Permanent

## **7.280 Project Files**

### **Capital Projects**

Records of capital projects, professional services relating to capital improvements and projects relating to the design, engineering, construction, major repair, renovation or demolition of district owned 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 communications structures and other infrastructure. Project files may include documentation such as final project reports, specifications and contract documents,

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certificates of insurance, project-related permits and licenses issued to the special district by other entities, notices to proceed and of final settlement, project pay estimates, change orders and correspondence and general documentation.

Retention: 6 years + current 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, the records must be evaluated for continuing legal, administrative or historical value [CRS 24-16-105]

### 1. **Project Bonds**

#### a. 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 + current after expiration or project completion, whichever is later

#### b. **Performance and Payment Bonds**

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

Retention: 1 year + current after project completion

### 2. **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

### B. **Information Technology Projects [Reserved]**

### C. **Noncapital Projects**

Records relating to other types of "projects" that do not relate to capital improvements; i.e., these would typically be working files documenting an activity, plan, program, assignment, new undertaking, etc. See 7.140, *General Subject Files*.

### ***Major Projects***

Records of *major* projects, goods and services acquired relating to capital improvements and permanent assets of the special district; design, engineering, construction, repair and/or major maintenance of district owned buildings, facilities, roadways, utilities, public works and other infrastructure valued at over \$\_\_\_\_\_ ***[threshold to be determined by each individual district]***. Project files may include documentation such as final project reports, specifications and

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contract documents, notices to proceed and of final settlement, project pay estimates, change orders and correspondence and general documentation.

Retention: Permanent

### ***Minor Projects***

Records of *minor* projects, goods and services acquired relating to capital improvements, design, engineering, construction, repair and/or maintenance of district owned buildings, facilities, roadways, utilities, public works and other infrastructure under \$\_\_\_\_\_ in value [***threshold to be determined by each individual district***]. Project files may include documentation such as final project reports, specifications and contract documents, notices to proceed and of final settlement, project pay estimates, change orders and correspondence and general documentation.

Retention: 2 years after project completion, provided there is no legal or administrative value

### ***Project Bonds***

#### ***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 + current

#### ***Performance and Payment Bonds***

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

Retention: 1 year + current after project completion

### ***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

## **7.290 Public Relations Records**

Speeches, addresses, and comments of public officials, remarks made at formal district ceremonies by elected district officials, etc. Includes paper, videotape, motion picture or tape recordings. See also *Schedule 7 News Releases*.

Retention: Permanent

## **7.300 Publications**

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Documents printed or otherwise produced for wide internal or external distribution, including annual reports, brochures, pamphlets, leaflets, studies, proposals, newsletters, instructional materials, and similar materials printed by or for the district or any of its departments, and made available to the public. See also *Appendix A Non-Records* relating to publications of other agencies or entities that are not considered to be district records for retention purposes.

Retention: Permanent

### 7.310 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

### 7.320 Regulations And Standards

Documentation of rules, regulations, standards and similar guidelines and requirements adopted by the special district in relation to various activities and functions. Examples may include building regulations and standards, cemetery rules and regulations, streetscape standards, street and sidewalk construction standards, water and sewer line installation standards, etc.

Retention: Permanent

Duplicate Copies: Until superseded

### 7.330 Reports

Written reports regarding the operations or activities of the special district or its individual employees, departments or service areas, prepared for use in compiling other reports, planning and budgeting, monitoring work progress, etc.

#### ***Annual Reports***

Summary annual reports of individual departments or the district as a whole on primary program activities and accomplishments for the previous year; may include statistics, narrative reports, graphs, and diagrams.

Retention: Permanent

#### ***Daily Reports***

Reports documenting the daily activities of employees or work units.

Retention: 1 year + current

#### ***Monthly or Weekly Reports***

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Reports of staff or departments on program activities and accomplishments for the previous month/week.

Retention: 1 year + current

### ***Quarterly Reports***

Reports of staff or departments on program activities and accomplishments for the previous three months.

Retention: 2 years + current

### **7.340 Retention Schedules And Compliance Certificates**

Authorizations for the retention or disposition of records issued for the special district and/or its' departments by the Colorado State Archives and certificates of compliance completed to track the authorized destruction of special district records.

Retention: Permanent

### **7.350 Rules And Regulations**

See *Schedule 7 Regulations and Standards*.

### **7.360 Software And Software Manuals**

See *Schedule 6 Computer System Records*.

### **7.365 Special District Records**

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

Retention: 6 years + current after the district's agreement with the special district no longer has any binding effect, then evaluate for continuing value prior to destruction

### **7.370 Standards**

See *Schedule 7 Regulations and Standards*.

### **7.380 Studies, Plans And Reports**

Documents prepared by the district or by external entities on behalf of the district. 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 retained by the district that are prepared

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by or on behalf of other entities, and which include information of interest to the district, should be evaluated for long-term reference or historical value to the special district. See also *Schedule 7 Reports* and *Schedule 11 Plans, Studies and Reports*.

Retention: Permanent

### 7.390 Surveys And Questionnaires

Copies of completed miscellaneous surveys, questionnaires and similar instruments that are routine and are received and completed by the special district for return to the originator.

Retention: 1 year + current

### 7.395 Surveys Conducted By Special Districts

#### ***Compilations***

Retention: Permanent

#### ***Survey Responses***

Retention: 1 year + current after compilation complete

### 7.400 Training And Conference Materials

Records documenting activities of district officials or employees at seminars, conferences or other training sessions not sponsored by the district, including instructional materials obtained by officials and staff members at conferences, seminars or other types of external training sessions. See also *Schedule 15 Training Information*.

Retention: 2 years

### 7.410 Worksheets And Drafts

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; 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. See also *Schedule 5 Worksheets – Financial*.

Retention: Until no longer needed

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## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 8

#### GOVERNING BODY RECORDS

General Description: Records regarding the composition, operation, proceedings and enactments of the governing body of the special district. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.). See Schedule 7 Committees - Internal for records of staff and other internal committees and Schedule 7 External Groups and Agencies for records kept by the district of outside groups and entities not appointed by the district.*

***Duplicate Copies: Provided that no retention period is specified for duplicate copies, retain those 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.***

#### 8.10 Agenda Supporting Documentation

Material such as agenda item summaries and supporting documentation, memos or other material presented to the governing body relating to decisions to be made at meetings; supporting documentation for minutes. See also *Schedule 8 Minutes and Supporting Documentation and Packets Distributed to Governing Body.*

Retention: Permanent

Duplicate Copies: Until meeting is over

#### 8.20 Agendas

Listings showing date, time and locations of official meetings and items to be discussed by the governing body at regularly scheduled, special and emergency public meetings.

Retention: Permanent

Duplicate Copies: Until meeting is over

#### 8:30 Appointments

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

Retention: 1 year + current after term of appointment ends

#### 8.40 Bylaws

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

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Retention: Permanent

Duplicate Copies: Until superseded

### 8.45 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 the retention periods set forth in the schedule for comparable records of the governing body (i.e., agendas, minutes and supporting documentation, notices of meetings, recordings, etc.)

### 8.50 Enterprise Board Records

See *Schedule 8 Governing Body as Another Decision-Making Body*.

### 8.60 Goals

Formally adopted strategic plans or policy agendas set out by the governing body.

Retention: Permanent

### 8.70 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 district or the Enterprise Board of Directors for a water or wastewater utility enterprise, etc. See also Schedule 4

Retention: Follow Schedule 8 for specific types of records

### 8.80 Legislative Lobbying Records

Records of official positions taken by the special district and lobbying efforts with regard to state or federal legislation or ballot measures of interest to the district.

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

### 8.90 List of Members

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

Retention: Until superseded

### 8.100 Member Records



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Files documenting the service and tenure of members of the governing body, including appointments to various committees and bodies, resignations and other documentation relating to the member's service to the district. See also Schedule 8 Oaths of Office

Retention: Permanent

### **Conflict of Interest Disclosure Statements**

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

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

### **Financial Disclosure Statements**

Statements of financial interest filed by members of the governing body for public inspection.

Retention: 1 Year + current after service ends

### **8.110 Minutes and Supporting Documentation**

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

Retention: Permanent

### **Routine Supporting Documentation Submitted at Meetings**

Routine letters, nonbinding petitions and other written materials submitted at meetings and referenced in summary form (title, date and brief description) in the minutes. See also Schedule 7 Complaints, Routine Service requests and Nonbinding Petitions.

Retention: 1 years + current after meeting provided summary description is included in minutes

### **8.120 Notes Taken At Meetings**

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

Retention: Until meeting minutes are approved

### **8.130 Notices of Meetings**

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

Retention: 1 year + current

### **8.140 Oaths of Office**

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Oaths of office taken and subscribed to by elected or appointed officials within 30 days of election or appointment. [CRS 32-1-901]

Retention: 1 years + current after term expires.

### 8.160 Orientation And Training Information

See Schedule 8 Packets Distributed to Governing Body.

### 8.170 Packets of Information Distributed To Governing Body - Convenience Copies

Convenience copies of batches of information periodically distributed to members of the governing body for informational purposes, including correspondence, copies of agenda materials and minutes for review, copies of staff memos, etc.

(Note: This listing applies to convenience copies of such information that may be retained intact by some municipalities for ready reference. Other copies of material included in this type of information packet, such as agenda item summaries, minutes, correspondence, etc., may also be retained elsewhere as a different record with a different purpose for a different retention period

Retention: 3 years + current

Duplicate Copies: 1 year or until no longer needed for reference, whichever is first

### 8.180 Proclamations

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

Retention: Permanent

### 8.200 Resolutions

Enactments of the governing body which may be legislative or non-legislative in nature and which may be used for various types of legislative actions, appropriations, approvals, policy statements, statements of position and similar actions.

Retention: Permanent

### 8.210 Signature Certificates

Facsimile signature certificates that are filed with the Secretary of State's office for authentication and verification of the signature on district documents

Retention: 1 year after term of office ends

### 8.220 Recordings or Meetings

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Audio, video or other recordings of official meetings typically used to prepare minutes or transcripts of the meeting

### **Executive Sessions**

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

### **Open Meetings**

Retention: 6 months after approval of the minutes

### **Study Sessions**

Retention: 6 months after the meeting

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 9

#### HISTORICAL RECORDS<sup>3</sup>

General Description: Records that have historical importance as documentation and evidence of the origins and evolution of the special district. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

**Duplicate Copies**: *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 9.05 Archaeological And Historical Site Records

Records relating to archaeological and historical sites within the district.

Retention: Permanent

#### 9.10 Community And Special District Histories

Narrative histories of the special district, departments and community prepared for reference and informational purposes.

Retention: Permanent

#### 9.20 Community Records

Significant historical records (often fragmentary) of early community groups, businesses and prominent individuals typically found in the district clerk's office or local history collections.

Retention: Permanent Note: Contact State Archives for assistance in records appraisal.

#### 9.30 Historic Buildings And Districts

See *Schedule 1 Landmark and Historic Designations*.

#### 9.40 Historical Society

See *Schedule 7 External Groups and Agencies*.

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<sup>3</sup> The following types of records are usually considered to have permanent archival value: annual reports, audit reports, brochures, court dockets older than 1920, directives, handbooks, histories, indexes, interviews, legal opinions, minutes, resolutions, organizational charts, photographs, policy manuals, procedure manuals, publications, regulations, research reports, rules, speeches, special studies, statistical summaries, records older than 1900. Many of these records are listed in other schedules for permanent retention.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### 9.50 Organization Records

Records relating to the organization of the district.

Retention: Permanent

### 9.60 Landmarks

See *Schedule 1 Landmark and Historic Designations*.

### 9.70 Logo - Special District

See *Schedule 9 Seal and Logo of the district*.

### 9.80 News Clippings

See *Schedule 9 Scrapbooks*.

### 9.90 Newspapers - Local

Newspapers of the locality or region that have been preserved in the special district office for reference or informational purposes.

Retention: Not considered to be a district record; however, older collections of local newspapers may have historical interest to the Colorado Historical Society, local historical society or other historic preservation groups. Contact the Colorado State Archives regarding disposition of these newspapers.

### 9.100 Photographic Records With Historical Value

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

Retention: Permanent

### 9.110 Records Older Than 1900

Records of any type in the custody of the district that are dated prior to 1900 and that may have historical or archival value.

Retention: Contact Colorado State Archives regarding preservation and disposition

### 9.120 Scrapbooks

Chronological record of the special district or individual district departments which may include photographs, newspaper clippings and other items pertaining to the district's activities and actions and the reactions of citizens.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: Permanent

### **9.130 Seal, Logo And Other Intellectual Property Records**

Records relating to special district's owned copyrights, trademarks, service marks, seals, logos, taglines and other similar intellectual property.

Retention: Permanent

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 10

#### INFRASTRUCTURE RECORDS

General Description: Records pertaining to the provision of basic infrastructure and underlying public works services and systems that provide the foundation for the special district. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

**Duplicate Copies:** *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 10.10 Communications Systems

Records pertaining to community-wide communications systems, including cable television and telephone service. See *Schedule 5 Franchise Records; Schedule 6 Communications System Licenses and Telephone System – Buildings; Schedule 12 Permit Records – Communication Tower Permits and Encroachment Permits; and Schedule 16 Easements and Rights-of-Way.*

#### 10.20 Electricity Service

Records relating to the provision of electrical service to the community and its residents. See *Schedule 5 Franchise Records and Utility Billing; and Schedule 7 Agreements and Contracts.*

#### 10.30 Encroachments - Utility Lines

See *Schedule 12 Permit Records – Encroachment Permits.*

#### 10.40 Enterprise Board Records

See *Schedule 8 Governing Body as Another Decision-Making Body.*

#### 10.50 Franchises

See *Schedule 5 Franchise Records.*

#### 10.60 Gas Service

Records pertaining to the provision of natural gas service to residents of the special district. See *Schedule 5 Franchise Records; Schedule 7 Agreements and Contracts; and Schedule 12 Permits – Encroachment Permits.*

#### 10.90 Maps And Drawings

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Maps, plans and drawings created by the district or its contractor(s) for district use, including system schematics, "as-built" drawings, topographic and planimetric maps, etc. See also *Schedule 7 Maps and Drawings*.

Retention: Permanent for final versions

Duplicate Copies: Until no longer needed for reference

### 10.100 Policies And Procedures

See *Schedule 7 Policies and Procedures Documentation*.

### 10.110 Project Records

See *Schedule 7 Project Files*.

### 10.120 Railroad Records

#### ***Special District Operations on Railroad Right-of-Way***

Records of license agreements, right-of-way agreements or other transactions for the district's use of the railroad right-of-way for utility line installation or other purposes.

Retention: Permanent

#### ***Railroad Crossings***

Crossing plans and drawings, PUC/CDOT public hearings and rulings, reports and studies, accident records, corrective actions in relation to State inspection reports and similar documentation.

Retention: Permanent

#### ***Railroad Systems***

Records pertaining to railroad systems, routes, regulations and rights-of-way for railways operating within the district.

Retention: Permanent

### 10.130 Regulations

See *Schedule 7 Regulations and Standards*.

### 10.140 Rights-Of-Way And Easements

See *Schedule 16 Easements and Rights-of-Way*.



# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### 10.150 Solid Waste Management

Records pertaining to landfills operated by the district. See also *Schedule 5 Accounts Receivable* for cash receipts for trash hauling etc.

#### ***Dump Tickets***

Retention: 3 years

#### ***Landfill Locations***

Retention: Permanent

#### ***Landfill Monitoring – Surrounding Jurisdictions***

See *Schedule 11 Environmental Records*.

### 10.160 Standards

See *Schedule 7 Regulations and Standards*.

### 10.170 State Highway System Records

Records regarding street maintenance contract with Colorado Department of Transportation and other standards and policy issues relating to State highways within the district. See also *Schedule 5 Government Revenue Programs* and *Schedule 10 Street and Traffic Operations Records*.

Retention: Permanent

### 10.180 Stormwater Drainage System

Records relating to the management of stormwater run-off and drainage, flooding and storm drainage basins. See *Schedule 7 Project Files* and *Regulations and Standards* and *Schedule 11 Floodplain Records*.

### 10.190 Street And Traffic Operations Records

Records documenting the ongoing street system and traffic flow operations of the district.

#### ***Colorado Department of Transportation Projects***

Records of roadway and signalization improvement projects on State highways located within the district. See also *Schedule 10 State Highway System Records*.

Retention: 6 years + current after project completion

#### ***Encroachments***

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

See *Schedule 12 Permit Records*.

### ***High Accident Locations***

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

Retention: 6 years + current

### ***Projects***

See *Schedule 7 Project Files*.

### ***Snow Removal***

Records relating to the designation of snow routes, snow removal policies, and snow and ice removal programs.

Retention: 2 years after superseded

### ***Street Cuts***

See *Schedule 12 Permit Records – Permits to Work in Public Way*.

### ***Street Lighting Files***

Records relating to street lighting improvements, maintenance and repairs on district streets and roadways.

Retention: 6 years + current

### ***Street and Drainage Problem History Files***

See *Schedule 10 Street Engineering Records*.

### ***Street Cleaning Records***

Retention: 2 years + current

### ***Traffic Marking and Signalization Files***

Records documenting traffic marking and signalization projects.

Retention: 6 years + current

### ***Truck Route Designations***

Retention: 2 years after superseded

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### **Weather Observation Records**

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

Retention: Permanent

### **10.200 Street Engineering Records**

Records documenting the layout and planning of streets, intersections and sidewalks, street address assignments, establishment of grades, major street construction and maintenance, street and intersection design and alignment, right-of-way acquisition, street and drainage problem histories and similar records of long-term significance. See also *Schedule 1 Street Address and House Number Assignments*; *Schedule 7 Maps and Drawings* and *Project Files*; and *Schedule 16 Easements and Rights-of-Way*.

Retention: Permanent

### ***Bench Mark Records***

Records of bench marks placed by the district or the U.S. Geological Survey to denote elevations above sea level, including record books, maps, cards and other documentation that sets out locations and monument numbers, elevation, description and related data.

Retention: Permanent

### ***Street System Records***

Documentation filed on or before December 31, 1953, with the State department of transportation by the district certifying the total mileage of streets in the district 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

### **10.210 Studies And Reports**

See *Schedule 7 Studies, Plans and Reports*.

### **10.230 Traffic Operations Records**

See *Schedule 10 Street and Traffic Operations Records*.

### **10.240 Transportation System Records**

Records pertaining to the operation of district or privately owned transportation systems that serve district residents, such as taxicab service, bus system and paratransit service, etc.

Retention: 6 years + current

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### Route Maps

Bus and paratransit transportation system route maps.

Retention: Permanent

Duplicate Copies: Until superseded

### 10.250 Utility Features

#### **Inclusion/Exclusion Review Records** – Utility and Other Infrastructure

See 11.15, Inclusion/Exclusion Review Records.

#### **As-Built Drawings**

Final versions of as-built drawings for sewer, water and plant lines and facilities. See also *7.180, Maps and Drawings*.

Retention: Permanent

#### **Development Review Records** – Utility and Other Infrastructure

See 11.45, Development Review Records.

#### ***Disconnection Records***

Records documenting the disconnection of properties from district water, sewer, power or similar utility systems.

Retention: Permanent

#### ***Installation and Connection***

Records documenting installation of district utility systems or the connection of properties to water, sewer, power or similar utility systems. See also *Water and Sewer Distribution and Storage System Records – Tap and Connection Records*.

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

#### ***Locates***

Documentation of request and district action to locate underground lines in vicinity of a construction site.

Retention: 2 years

#### ***Locations***

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Drawings, maps, charts, indexes, plats and other documentation showing the location of utility features such as manholes, valves, shutoffs, lines and mains etc.

Retention: Permanent

Duplicate Copies: Until superseded

### 10.290 Water And Sewer Distribution And Storage System Records

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

#### ***Agreements – Service***

See *Schedule 7 Agreements and Contracts*.

#### ***Backflow Prevention Device Test Records***

Documentation of test results on backflow prevention devices designed to protect the district water system from pollution related to substances backing into water lines.

Retention: 10 years

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

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

#### **Easements and Rights-of-Way**

See 16.60, Easements and Rights-of-Way.

#### **Emergency Plans**

See 17.50.A, Emergency Operations and Management Plans.

#### **Maps and Drawings**

See 7.180, Maps and Drawings and Supporting Documentation.

#### ***Meter Records***

See *Schedule 5 Utility Billing*.

#### **Oversizing Project Records**

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

See 7.280, Project Files.

### ***Projects – Distribution System Improvements***

See *Schedule 7 Project Files*.

### **Sewer Inspection and Testing Records**

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

Retention: 10 years or until superseded, whichever is shorter

### ***Sewer Smoke Test Records***

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

Retention: 10 years

### **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: 10 years after completion of test

### **Video Inspection Records**

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

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

### ***Tap and Connection Records***

Records regarding the application for and issuance of water and sewer tap permits and connections between specific properties and the district utility systems. See also *Schedule 10 Utility Features*.

### ***Outside Users Tap Records***

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

### ***Sewer Tap Permits***

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

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### ***Water Tap Permits***

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

### ***Utility Billing Records***

See 5.360, Utility Billing.

### ***Utility Lines***

See *Schedule 10 Utility Features*.

### ***Valve Records***

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

### ***Locations***

Retention: Permanent

### ***Maintenance and Repair***

Retention: 2 years

### ***Specifications***

Retention: Until valve is permanently removed from service

### ***Water Consumption Reports***

Compilations of statistics documenting daily water consumption.

### ***Annual Reports***

Retention: Permanent

### ***Information Summarized in Annual Reports***

Retention: 1 year + current

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

### ***Analysis of System***

Retention: 2 years + current

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### ***Flow Measurements***

Data regarding water flows collected from recording stations in streams or wells.

Retention: 1 year

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

Retention: Permanent

### **Water Conservation Records**

Records of activities that promote and coordinate the efficient use of water resources within the special district; i.e., educational and outreach efforts, reports, etc. See also 12.290.P.8, *Water Use Restriction Records*.

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

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

Documentation of maintenance and repair of district owned water lines.

### ***Records Requiring Engineering Stamp***

Retention: 2 years after water line permanently removed from service

### ***Other Records***

Retention: 2 years

### ***Water Pressure Measurements***

Retention: 6 years + current

### ***Water Storage Inspection Reports***

Retention: 6 years + current

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

Video Inspection Records

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

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



# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### **Water System Test Records**

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

Retention: 10 years after completion of test

### **Water Use Restriction Records**

Complaints and Supporting Documentation

See 7.80 Complaints, Routine Service Requests and Nonbinding Petitions.

Notices of Restrictions

Notices of water use restrictions imposed by the special district because of restrictions on water supply.

Retention: 1 year + current

### **10.300 Water And Sewer Treatment System Records**

Records relating to the treatment of water or sewage at district owned and operated facilities.

#### ***Analytical Reports***

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

#### ***Bacteriological Quality Analysis***

Samples collected for laboratory testing for various contaminants that are naturally present in the environment.

Retention: 5 years + current [40 CFR 141.33]

#### ***Chemical and Radiological Analysis***

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

Retention: 10 years + current [40 CFR 141.33]

#### **Chlorination Reports**

Retention: 10 years + current

#### ***Lead and Copper Analysis***

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

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.

Retention: 12 years + current [40 CFR 141.91]

### ***Secondary Contaminants***

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

Retention: 10 years + current [40 CFR 141.33]

### ***Sewage Plant Composite Samples***

Retention: 5 years + current [40 CFR 141.33]

### ***Sewage Tests – Weekly***

Retention: 5 years + current [40 CFR 141.33]

### ***Water Test Standards***

The district's standards for water testing.

Retention: 5 years + current

### ***Water Turbidity Reports***

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

Retention: 10 years + current

### ***Annual Reports***

Reports created on annual basis documenting water and wastewater treatment operations.

Retention: Permanent

### ***Consumer Confidence Report***

Annual report delivered to consumers as required by the National Primary Drinking Water Regulations.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: Permanent<sup>4</sup>

### ***Corrective Actions – Noncompliance***

Documentation of actions taken by the district to correct violations of primary drinking water regulations.

### ***Discharge Permits and Monitoring***

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

### ***Inspection Records***

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

Retention: Permanent [40 CFR 122.2]

### ***Odor Complaints***

Retention: 2 years + current

### ***Permits***

Retention: Permanent [40 CFR 122.2]

### ***Supporting Documentation***

Retention: 5 years + current

### ***Equipment***

#### ***Maintenance and Calibration Records***

Documentation of maintenance and calibration of equipment and instruments used in testing and monitoring of water and wastewater treatment operations.

Retention: Life of equipment

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<sup>4</sup> 40 CFR 141.155 establishes a minimum retention period of 3 years for this report; however, permanent retention is specified in the model retention schedule because of the historical value of this annual report.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### ***Sand Trap Inspections***

Retention: Life of equipment

### ***Industrial Pretreatment Permits***

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

Retention: Permanent

### ***Operator Records***

Records of certifications and training for water and wastewater operating personnel. See *Schedule 15 Employee Records*.

### ***Operational Reports***

#### ***Filter Plant Logs***

Daily information regarding plant operations.

Retention: 5 years + current

#### ***Plant Capacity Records***

Retention: 1 year + current

### ***Projects – Treatment System Improvements***

See *Schedule 7 Project Files*.

### ***Sanitary Surveys of System***

Written reports, summaries and communications by the district, its agents or State and Federal agencies.

Retention: 10 years [40 CFR 141.33]

### ***Sludge Application Records***

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

### ***Domestic Septage Application***

Retention: 5 years [40 CFR 503.17]

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### ***Permits***

Retention: 6 years after expiration

### ***Preparation and Application of Sludge***

Records relating to preparation of sewage sludge and the application by the district of sewage sludge to approved sites.

Retention: 5 years [40 CFR 503.17]

### ***Surface Disposal Site Placement***

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

### ***Variances and Exemptions***

Retention: 5 years after expiration [40 CFR 141.33]

### ***Water Meter Reading Sheets***

See *Schedule 5 Utility Billing*.

### ***Water Quality Studies***

See *Schedule 7 Studies, Plans and Reports*.

## **10.310 Water Source Of Supply Records**

Records pertaining to source of supply of raw (untreated) water for the district, including records relating to adjudication, acquisition, dedication and transfer of water shares and water resources and records relating to the district's water storage system.

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

Records relating to the district's 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 and other similar transactions.

Retention: Permanent

### ***Water Offers***

Records relating to water offers made to the special district and offers from the special district relating to the rental or purchase of water from others.

Retention: Until offer is accepted or rejected

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### **Ditch Records**

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

Retention: Life of ditch + 1 year

### ***Irrigation (Ditch) Company Records***

Water stock assessments and seasonal rental of surplus irrigation water.

Retention: 6 years + current

### ***Reservoir, Dam and Lake Records***

Records relating to the construction, repair and maintenance, monitoring and capacity of district owned and controlled water storage reservoirs, dams and lakes.

Retention: Permanent

### **Construction and Capacity Records**

Records relating to the construction, repair and maintenance and capacity of district owned and controlled water storage reservoirs, dams and lakes. See also 7.280, *Project Files*.

Retention: Life of reservoir, dam or lake + 1 year

### **Dam Monitoring and Inspection Records**

Dam safety inspections and monitoring data and reports.

Retention: Life of dam + 1 year

### ***River and Stream Records***

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

Retention: Permanent

### **Flow Measurements**

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

Retention: 1 year

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

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

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

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

### **Surface Water Rights Records**

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

Retention: Permanent

### ***Studies and Reports***

See *Schedule 7 Studies, Plans and Reports*.

### ***Underground Water Rights and Supply***

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

Retention: Permanent

### ***Water Associations***

See *Schedule 7 External Groups and Agencies*.

### ***Water Conservancy Districts***

Records relating to temporary use permits and cancellations and permanent allotment contracts for the use of water through agencies such as the Northern Colorado Water Conservancy District (NCWCD).

Retention: Permanent

### **Water Court Records**

See 10.310.A, Acquisition, Sale and Transfer Records.

### **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

### **Water Modeling and Forecasting Records**

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Records relating to projections of future water needs and supplies for the special district.

Retention: Permanent

### ***Water Policies, Regulations and Standards***

Records pertaining to district policies, standards and regulations regarding issues such as the dedication of water rights or cash in-lieu-of water rights, water metering, rate adjustments, plant investment fees, water quality, raw water rental, water conservation, etc. See also *Schedule 7 Regulations and Standards* and *Policies and Procedures Documentation*.

Retention: Permanent

### **Water Quality Monitoring Records**

#### **Biological Protection Plans**

See 7.380, Studies, Plans and Reports.

#### **Environmental Audits and Biological Assessments**

Records of environmental and biological audits, assessments and studies relating to water quality monitoring of the special district's watershed.

Retention: 30 years

#### **Water Quality Modeling and Forecasting Records**

Analyses of future water quality issues and projections of possible water quality scenarios.

Retention: Permanent

#### **Water Quality Studies**

See 7.380, Studies, Plans and Reports.

#### **Water Rental or Leasing Records**

Records relating to water stock assessments and seasonal rental of surplus irrigation water by the special district.

Retention: 6 years + current

#### ***Water Stock Certificates***

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



# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: Permanent

### **Weather Records**

Weather Modification Records

Records of cloud seeding projects conducted by the special district or its agents.

Retention: Permanent

Weather Observation Records

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

Retention: Permanent

Weather Sensor Calibration and Testing Records

Documentation of testing and calibration of district weather sensors to ensure accuracy

Retention: Life of equipment + 1 year

### **Well Location Records**

Records pertaining to adjudication, installation, testing and use of water wells and abandonment of water wells.

Retention: Permanent

### **Well Permits**

Records pertaining to the application and approval process for permits for drilling and use of water wells for district water supply uses.

Retention: Permanent

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 11

#### DISTRICT BOUNDARY AND PLANNING RECORDS

General Description: Records pertaining to inclusions, exclusions, consolidations and other boundary issues, developments, land uses, etc. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies:*** *Provided that no retention period is specified for duplicate copies, retain those 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.*

##### 11.10 Inclusion, Exclusion and Consolidation Case Files

Records documenting changes to the special district boundaries, including petitions, agreements, copies of resolutions, maps, permanent correspondence, etc. See also *Schedule 3 Petitions – Inclusion/Exclusion Election Petitions*.

Retention: Permanent, *except* follow Schedule 7 for purging of routine correspondence and documentation such as transmittal memos without substantive content, hearing notices, affidavits of publication, etc.

##### 11.15 Inclusions, Exclusion and Consolidation Review Records

Records pertaining to district review of various aspects of proposed boundary changes; i.e., traffic impacts, infrastructure and utility impacts, financial benefits and impacts, support services impacts, environmental impacts, etc. See also *11.10, Inclusions, Exclusions and Consolidation Case Files*.

Retention: Permanent

Duplicate Copies: Until no longer needed for reference

##### 11.20 Census and Population Records

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

Summary population estimates, statistics and supporting documentation pertaining to the ten-year census relating to the district and census surveys performed by the district, if any

Retention: Permanent

###### ***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,

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

boundary and inclusion survey and similar reports. See also *Schedule 1 Reports – Building Activity*.

Retention: 3 years

### ***Population Studies***

See *Schedule 7 Studies, Plans and Reports*.

### **11.45 Development Review Records**

Records relating to district reviews of various aspects of proposed development within the district (for example, urban renewal projects); i.e., traffic impacts, infrastructure and utility impacts, financial benefits and impacts, support services impacts, environmental impacts, etc.

Retention: Permanent

Duplicate Copies: Until no longer needed for reference

### **11.70 Environmental Records**

#### ***Environmental Monitoring and Reviews***

Records pertaining to local and regional permit and application reviews, monitoring, inspections, investigations, surveys, screenings, testing and similar activities by the district of 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, gravel pit and mined land reclamation, oil and gas well drilling, sludge application by other jurisdictions, landfill locations, etc. See also *Schedule 10 Solid Waste Management and Water and Sewer Treatment System Records*; *Schedule 17 Hazardous Materials*.

Retention: Permanent

#### **Nuisance Abatement Records**

Records documenting district compliance with local ordinances designed to abate nuisances such as overgrown weeds and grass, abandoned vehicles, junk and trash and other nuisances.

Retention: 2 years after action

#### ***Storage Tanks – Regulated Substances***

Records related to storage and use of regulated substances such as gasoline, crude oil, fuel oil and diesel oil, including applications, permits, inspection reports and related records.

#### ***Above Ground Storage Tanks***

Retention: 5 years

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## COLORADO SPECIAL DISTRICTS

### ***Underground Storage Tanks***

Retention: 25 years after tank removed

### ***Toxic Sites (Designated)***

Records related to the identification and designation of a site that may have toxic materials contaminating it.

Retention: Permanent

### ***Wetlands***

#### ***Protection***

Records relating to protection and management of wetlands on district property or rights-of-way.

Retention: Permanent

#### ***Removal and Fill***

Retention: 30 years

## **11.80 Fee Receipts**

See *Schedule 5 Accounts Receivable Records*.

## **11.90 Floodplain Records**

### ***Basin and Floodway Records***

Records documenting the existence of designated and recognized stormwater basins and floodways within the district, including maps and drawings depicting locations and FEMA flood insurance rate maps. See also *Schedule 7 Maps and Drawings*.

Retention: Permanent

### ***Flooding Records***

Records documenting the locations, extent and levels of flooding and subsequent mitigation efforts in the district. See also *Schedule 10 Stormwater Drainage System*.

Retention: Permanent

### ***Floodplain Building Permits***

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Permits issued to the District for construction within a floodplain area, including elevation certificates, applications, review records, and related documentation. See *Schedule 1 Building and Demolition Permits*.

### ***Floodplain Regulations***

See *Schedule 7 Regulations and Standards*.

### ***Wetlands***

See *Schedule 11 Environmental Records*.

### **11.100 Maps, Plats and Plans**

Reproducible linen or Mylar originals [or best copy] of inclusions and exclusions, subdivisions, master plans, planned unit developments, site plans, overall development plans, replats, zoning district plans, etc. See also *Schedule 7 Maps and Drawings*.

Retention: Permanent

Duplicate Copies: Until no longer needed for reference

### **11.110 Nuisances**

See *Schedule 11 Environmental Records*.

### **11.130 Plans, Studies and Reports**

Documents prepared in-house or externally regarding regional and local planning, strategic or long-range planning or growth for the district, such as comprehensive land use plans, urban growth area plans, stormwater basin plans, transportation plans, utility plans, economic development plans, streetscape plans, corridor plans, housing plans, etc. See also *Schedule 7 Studies, Plans and Reports*.

Retention: Permanent

### **11.140 Referrals from Other Jurisdictions**

Advisory deliberations referred to the district from the county or other surrounding jurisdictions for review and recommendation.

#### ***Direct Interest to the District***

Retention: 6 years provided it is reviewed before destroying

#### ***Other Referrals***

Retention: Until no longer needed for reference

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### 11.180 Violations – Covenant Enforcement

#### ***Land Use Violations***

Records of violations of land use or related codes. See also *Schedule 14 Case Files – Code Enforcement Cases*.

Retention: 5 years + current

#### ***Nuisances***

See *Schedule 11 Environmental Records*.

#### ***Weed and Trash Violations***

Records of district actions to enforce the district's weed and trash removal ordinances. See also *Schedule 11 Environmental Records*.

Retention: 2 years + current

### 11.190 Zoning Records

Records pertaining to the initial zoning or the rezoning of property within the district.

#### ***Initial Zoning***

Records documenting the zoning of land upon inclusion or the initial establishment of zoning districts within the district, including correspondence of enduring value, zoning ordinances of the county or municipality, zoning maps and zoning petitions. See also *Schedule 11 Inclusion/Exclusion Case Files*.

Retention: Permanent, *except* follow Schedule 7 for purging of routine correspondence and documentation such as transmittal memos without substantive content, hearing notices, affidavits of publication, etc.

#### ***Zoning Certificates***

Documentation issued by the municipality or county regarding the zoning classification for a parcel of property in the special district.

Retention: Permanent

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 12

#### LICENSES AND PERMITS

General Description: Records pertaining to the review, investigation, approval, issuance, renewal, denial, suspension or revocation of licenses and permits for regulated activities. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies***: *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 12.10 Bonds - Licenses And Permits

Bonds required to be filed with the district before a license or permit (such as house moving, tree trimming, street cutting etc.) can be issued or renewed.

Retention: 6 years + current after expiration

#### 12.15 Licenses Issued To The District

*Licenses and supporting documentation for licenses issued to the special district by other entities as evidence that the special district is allowed to undertake some type of activity for which a license is required.*

##### ***Project-Related***

See 7.280.A, *Capital Projects*

##### ***Routine Licenses Not Related to Capital Projects***

Retention: 1 year + current after expiration

#### 12.30 Permit Records

Documentation issued by the district as evidence that the bearer is allowed to undertake some type of activity for which a permit is required.

##### ***Burning Permits***

Permits issued by the district to individuals, or to the district by other agencies, to allow open burning on specified days.

Retention: 1 year + current, unless connected with an investigation

##### ***Communication Tower Permits***

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## COLORADO SPECIAL DISTRICTS

Retention: 2 years + current after removal of tower

### ***Encroachment Permits***

Permits issued by the district to allow the permanent or long-term location of communication, utility or other installations under or over public rights-of-way or publicly owned property. See also *Permits to Work in Public Way* below.

Retention: Permanent

### ***Excavation Permits***

Retention: 2 years + current

### ***Facility Permits***

Documentation issued by the district to allow access to and use of a district facility.

Retention: 1 year + current

### ***Fence Permits***

Retention: 2 years + current

### ***Fire Alarm System Permits***

Retention: 2 years + current

### ***Industrial Pretreatment Permits***

See *Schedule 10 Water and Sewer Treatment System Records*.

### ***Permits to Work in Public Way***

Permits issued for private use or construction on district right-of-way ("public way") such as streets, sidewalks or adjacent land for demolitions, excavations, street cuts, blasting, crane operations, barricade installations, concrete construction (curb, gutter sidewalks) or the moving of heavy equipment or houses. See also *Encroachment Permits* above.

Retention: 2 years + current after expiration, revocation or discontinuance of use

### ***Sewer Tap Permits***

See *Schedule 10 Water and Sewer Distribution and Storage System Records*.

### ***Sludge Application Permits***

See *Schedule 10 Water and Sewer Treatment System Records*.



# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### ***Special Events and Use Permits***

Retention: 1 year + current

### ***Street Cut Permits***

Retention: 1 year + current after expiration of warranty period

### ***Telephone Company Permits***

See *Encroachment Permits* above.

### ***Underground Storage Tank Permits***

Records that document installation, maintenance and removal of underground storage tanks for regulated substances such as gasoline and fuel oil. See also *Schedule 11 Environmental Records – Storage Tanks – Regulated Substances*.

### ***Denied Permits***

Retention: 3 years + current after final action

### ***Issued Permits***

Retention: Permanent

### ***Use Permits***

Permits issued by the district for various special or temporary uses.

Retention: 1 year + current

### ***Water Tap Permits***

See *Schedule 10 Water and Sewer Distribution and Storage System Records*.

## **12.35 Permits Issued To The District**

Permits and supporting documentation for permits issued to the special district by other entities as evidence that the special district is allowed to undertake some type of activity for which a permit is required.

### **Project-Related**

See 7.280.A, Capital Projects.

### **Routine Permits Not Related to Capital Projects**

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: 1 year + current after expiration

### **12.40 Registers - Licenses And Permits**

Records, listings or logs of issuance of licenses or permits by the special district.

Retention: Permanent

#### ***Contact Lists – Licensees***

Retention: Until superseded

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## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 13

#### LITIGATION AND LEGAL COUNSEL RECORDS

General Description: Records pertaining to claims, lawsuits and advice received from the special district's legal counsel. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies***: *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 13.10 Attorney Correspondence

See Schedule 7 Correspondence and General Documentation.

#### 13.20 Billings – Legal Counsel

See Schedule 5 Accounts Payable Records.

#### 13.30 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

#### 13.50 Garnishments

See Schedule 15 Payroll Records.

#### 13.60 Legal Opinions

Formal opinions written by legal counsel to advise the district, the governing body or district staff regarding the legality or legal consequences of various courses of action and to present the basis and rationale for legal recommendations.

Retention: Permanent

##### ***Advisory Opinion***

Formal opinions written by legal counsel to advise the district, the governing body or district staff regarding the possible legal consequences of various courses of action. <Added 1/03>

Retention: 6 years

#### 13.70 Litigation Case Records

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Civil case files documenting pending and closed cases filed by the district and against the special district, including legal documents, notes, reports, background material, settlement records and other documentation created in handling of claims and legal disputes and civil actions between the district and other parties. These records will include documentation such as complaints, summonses, investigations, reports, attorney's notes, photographs, orders and judgments, dispositions, pleadings and related records. Litigation records include any court decisions affecting the district, court proceedings, research files of legal counsel, litigation case files, and Public Utilities Commission hearing files for cases pertinent to the special district.

### ***Major Litigation***

Documentation of civil suits by the district against another party or in defense of the district and/or its employees against suits filed by another party. Records of litigation that sets legal precedents, that has widespread importance or long-term major significance to the district and how it operates, that has historical interest or that is perceived by the district or legal counsel to have enduring reference value.

Retention: Permanent

### ***Minor Litigation***

Documentation of civil suits of a minor nature by the district against another party or in defense of the special district and/or its employees against suits filed by another party; records of litigation with relatively short-term reference value.

Retention: 7 years after case closed, dismissed or date of last action unless there is historical value

**RECORDS MANAGEMENT MANUAL**

**COLORADO SPECIAL DISTRICTS**

**SCHEDULE 14.**

**Reserved**

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 15

#### PERSONNEL RECORDS

General Description: Records relating to the hiring, employment, safety, benefits, compensation, retirement and termination of district employees. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies***: *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 15.10 Affirmative Action Records

See Schedule 15 Compliance with Regulatory Requirements.

#### 15.20 Agreements And Contracts - Personnel

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.

##### ***Collective Bargaining Agreements and Agreements***

Retention: 3 years after expiration [29 CFR 516.5]

##### ***Employment Contracts***

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]

#### 15.30 Americans With Disability Act Records

See Schedule 15 Compliance with Regulatory Requirements.

#### 15.40 Benefits Records

Records pertaining to fringe benefits, insurance coverage and benefit plans for employees.

##### **Group Health Insurance – Continuation of Coverage**

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Records showing that covered employees, their spouses and dependents have received written notice of continuing group health insurance and COBRA<sup>5</sup> rights, and whether the covered employees, spouses and dependents elected or rejected coverage.

Retention: 3 years + current<sup>6</sup>

Records pertaining to fringe benefits, insurance coverage and benefit plans for employees.

Retention: 3 years + current

### ***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, plus 1 year after termination of the plan [29 CFR 1627.3]<sup>7</sup>

### **Benefit Reports**

Reports detailing the status of employee benefits, such as the amount of flex time remaining.

Retention: 3 years + current

### **Employee Insurance Claims**

See 5.240.D, Employee Insurance Claim Records.

### ***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 and 29 CFR 2520]

## **15.50 Bonds - Public Officials**

Fidelity, surety, blanket or other bonds intended to guarantee honest and faithful performance of officials such as district board members or the treasurer [CRS 32-1-901, CRS 32-1-902].

Retention: 6 years + current after term expires

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<sup>5</sup> COBRA means Consolidated Omnibus Budget Reconciliation Act of 1985.

<sup>6</sup> Retention period not specified in federal law 26 CFR 4980 B (f)(6) or 29 USC 1166

<sup>7</sup> GRMRC F-19 and P-17 specify permanent retention for pension plans

# RECORDS MANAGEMENT MANUAL

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### 15.60 Compliance With Regulatory Requirements

#### ***Affirmative Action Compliance***

Records relating to the special district's compliance with Title VII of the Civil Rights Act [29 CFR 1602].

#### ***Affirmative Action Plan***

Retention: Permanent

#### ***Affirmative Action Records***

Records of requests for job applicant's reasonable accommodation applications, hiring, promotion, demotion, transfer, layoff, termination, rates of pay, selections for training or apprenticeship.

Retention: 2 years<sup>8</sup> [29 CFR 1602.31]

#### ***Report EEO-4***

Records submitted to the Equal Employment Opportunity Commission (EEOC) documenting compliance with EEOC requirements by special districts with 15 or more employees.

Retention: 3 years [29 CFR 1602.30; 29 CFR 1602.32]

#### ***Americans with Disabilities Act (ADA) Compliance***

See *Schedule 15 Physical and Medical Records*.

#### ***Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) Compliance***

See *Schedule 15 Benefits – Group Health Insurance – Continuation of Coverage*.

#### ***Family and Medical Leave Act (FMLA) Compliance***

See *Schedule 15 Physical and Medical Records*.

#### ***Occupational Safety and Health Act (OSHA) Compliance***

See *Schedule 15 Physical and Medical Records*.

### 15.65 Driver's License Verifications

Records of periodic checks by the municipality that employees have the appropriate valid drivers' licenses

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<sup>8</sup> GRMRC P-4 specifies 5 years + current; 29 CFR 1602.14 specifies 1 year



# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: Until completion of subsequent verification, or until separation from employment, whichever comes first

### 15.70 Employee Records - Active And Terminated

Documentation of an individual employee's work history, including information regarding active and terminated employees maintained because of the employer-employee relationship, such as records pertaining to age, address, telephone number and social security number; notices of appointment; tuition reimbursement; classification questionnaires; commendations; disciplinary and personnel actions relating to the employee, including hiring, evaluation, demotion, promotion and termination of special district employees; letters of commendation; letters of resignation; emergency notification forms; oaths of office; job-related training documentation; beneficiary designations; performance evaluations; salary documentation; beneficiary designations; selection of benefit plans, etc. [CRS 24-72-202(4.5)]. See also other employee and personnel records listed elsewhere in *Schedule 15*.

Retention: 10 years after retirement or separation, provided that records relating to hazardous material exposure are retained 30 years after separation.<sup>9</sup>

Duplicate Copies: Consult with custodian of record copy of special district employee records regarding proper transfer or disposal of departmental employee records upon termination of employment

### 15.80 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

### 15.85 Employment Verifications

Records of verification of employment in response to external requests (i.e., verifications for employment status needed for loans, child support, job applications, etc.).

Retention: 1 years + current

### 15.90 Expense Records

See *Schedule 5 Accounts Payable Records*.

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<sup>9</sup> Research notations: *Age records*, 3 years [29 CFR 516.2, 41 CFR 50.201, and 29 CFR 1627.3]; *demotion records*, 1 year [29 CFR 1627.3 and 29 CFR 16902.14]; *hiring records*, 3 years [29 CFR 1602.14 and 29 CFR 1627.3]; *promotion records*, 1 year from date record made or personnel action taken, whichever is later [29 CFR 1602.14]; *termination records*, 1 year from date record made or personnel action taken, whichever is later [29 CFR 1602.14]; *involuntary terminations*, 2 years from date of termination, or in cases of charges of discrimination retain until final disposition of charge or action [29 CFR 1602.31].

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### 15.100 Garnishments

See *Schedule 15 Payroll Records*.

### 15.110 Grievances

Records of personnel grievances filed by employees.

Retention: 3 years + current after settled]

### 15.120 Health And Safety Records

See also *Schedule 15 Physical and Medical Records* and *Workers' Compensation*.

#### ***Hazardous Materials Exposure***

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.

Retention: 30 years after separation [29 CFR 1910.1020 and 15 USC 2622]

#### ***HIPPA Authorizations for Release of Information***

Employee (patient) authorizations for release of protected information.

Retention: 6 years from date of creation of the record

#### ***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 [29 CFR 1910.1200].

Retention: Until superseded or 1 year + current after chemical is disposed of or consumed, provided the employer retains some record of the identity (chemical name if known) of the substance or agent, where it was used, and when it was used for at least 30 years.

#### ***Safety Committee Records***

See *Schedule 7 Committees – Internal*.

#### ***Safety Policies and Procedures***

See *Schedule 7 Policies and Procedures Documentation*.

#### ***Safety Training Information***

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## COLORADO SPECIAL DISTRICTS

Manuals, handbooks and similar documentation of safety training provided to employees.

Retention: 1 year + current

### 15.130 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 or 1 year after separation, whichever is later [8 CFR 274a.2]

### 15.140 Insurance - Employee

See *Schedule 15 Benefits* and *Schedule 5 Insurance Records*.

### 15.150 Job Records

#### ***Advertisements of Job Opportunities***

Advertisements and announcements regarding job openings, promotions, training programs or overtime work.

Retention: 1 year + current [29 CFR 1627.3]

#### ***Applications for Employment and Supporting Documentation***

Applications, resumes and supporting documentation and other replies to job advertisements, including applications for temporary positions.

Retention: 2 years from the date record was made or human resource action was taken, whichever is later 29 CFR 1627.4, 29 CFR 1602.14

#### ***Applications for Employment – Not Hired***

Applications, resumes and supporting documentation submitted for special district employment by individuals not hired.

Retention: 2 years from the date of the making of the record or the personnel action involved, whichever occurs later [29 CFR 1602.31]

#### ***Examinations***

Tests administered by the special district in connection with screening job applicants to determine aptitude or skills.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: 2 years + current from the date of making record or action, whichever occurs last [29 CFR 1602.31, 29 CFR 1627.3 and 29 CFR 1607.4]

### ***Job Descriptions and Specifications***

Written descriptions of duties performed, qualifications and physical requirements for district positions.

Retention: Until superseded

### ***Polygraph Records – Job Applicants***

Retention: 2 years + current

### ***Polygraph Records - Routine (Not Job Related)***

Retention: Until administrative need ends

## **15.160 Oaths Of Office**

Oaths of office taken by elected or appointed district officials [CRS 32-1-901].

Retention: Term of office + 1 year

## **15.170 Payroll Records**

### ***Basis of Pay***<sup>10</sup>

Records pertaining to additions or deductions from wages paid; 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 516.5]

### ***Compensation Plans***

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<sup>10</sup> Research notations: *Additions or Deductions from Wages Paid*, 3 years [29 CFR 516.5]; *Age Discrimination in Employment Act Records*, 3 years [29 CFR 1627.3]; *Basis on Which Wages Are Paid*, 2 years [29 CFR 1620.32 and 29 CFR 516.6]; *Earnings Per Week*, 3 years [29 CFR 1627.3 and 29 CFR 516.5]; *FLSA-Exempt Employees*, 3 years [29 CFR 516.5]; *FLSA-Non Exempt Employees*, 3 years [29 CFR 516.5]; *Title VII and Americans with Disabilities Act*, 1 year from date record made or personnel action taken, whichever is later [29 CFR 1602.14].

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### ***Pay Plans***

Written plans outlining job titles and pay scales for district employees.

Retention: Permanent

### ***Seniority or Merit Systems***

Retention: For the full period the plan or system is in effect plus 1 year [29 CFR 1627.3]

### ***Credit Union Deduction Requests***

Retention: 1 year after superseded<sup>11</sup>

### ***Direct Deposit Reports***

Retention: 1 year + current

### ***Employee Longevity Reports***

Report related to individual employee.

Retention: 10 years after separation

### ***Garnishments***

Documentation of requests and court orders served on the special district to withhold the wages of employees for garnishments, tax levies, support payments and other reasons.

Retention: 3 years

### ***Leave Records***

#### ***Balance Reports***

##### ***Year-End***

Retention: Duration of employee file

#### ***Other Periodic Reports***

Retention: 2 years

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<sup>11</sup> 29 CFR 516.6 specifies retention for 2 years.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### ***Leave Requests***

Applications submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long-term leave and other leave time.

Retention: 1 year + current

### ***Pay Plans***

See *Compensation Plans* above.

### ***Payroll Reports***

#### ***Employee Longevity Reports***

Retention: Permanent

#### ***End of Pay Period***

Retention: 1 year + current

### ***FICA Reports – Quarterly***

Retention: 6 years + current

#### ***Quarterly***

Retention: 2 years + current

#### ***Year-End***

Retention: 6 years + current provided Payroll Register is retained permanently

### ***Payroll Tax Records***

Records of collection, distribution, deposit and transmittal of federal and state income taxes, including federal miscellaneous income statements (1099), request for taxpayer identification number and certificate (W-9), employer's quarterly federal tax return (941, 941E) and other similar federal and state forms.

Retention: 5 years + current

### ***Register – Payroll [Year-End]***

Documentation of the earnings, voluntary and required deductions and withholdings of district employees.

Retention: Permanent

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### ***Salary Surveys***

Studies and surveys conducted by the district or its agents to gather comparative salary information for district positions in comparable organizations.

Retention: 3 years + current

### ***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.

Retention: 5 years + current [CRS 8-72-107]<sup>12</sup>

### ***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: 2 years; however the Department of Labor may request records back 3 years [29 CFR 516.6]

### ***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 + current

### ***W-4 Forms***

Withholding allowance certificates documenting exemption status of individual district employees.

Retention: Throughout employment

## **15.180 Pension Records**

### ***Actuarial Reports***

Reports by actuaries concerning the financial soundness of a pension plan.

Retention: Permanent

### ***Pensions Awarded***

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<sup>12</sup> GRMRC P-16, 29 CFR 1602.31 and 29 CFR 516.6 specify retention for 2 years. The model retention schedule follows state law.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Records of applications for pensions, determinations regarding award of pensions and actuarial calculations for the pension.

Retention: Permanent

### ***Pension Plans***

See *Schedule 15 Benefits – Benefit Plans*.

### **Retirement Files**

Records containing calculations and supporting documentation regarding retirement eligibility, retirement amounts and other information pertaining to current and potential future pensions.

Retention: 10 years after retirement benefits are no longer paid or after eligibility for retirement benefits ceases, whichever is later

## **15.190 Physical And Medical Records**

Records documenting an individual employee's work-related medical history [29 CFR 1630.14].

*Note: These records are not personnel records and must be kept physically separate from employee personnel records in a separate location as required by the Americans with Disabilities Act. See also Schedule 15 Health and Safety Records.*

### ***Age Discrimination in Employment Act (ADEA) and Americans with Disabilities Act (ADA) Records***

Records required to be retained under Age Discrimination in Employment Act (ADEA) and Americans with Disabilities Act (ADA) containing results of physical examinations considered in connection with personnel actions.

Retention: 1 year [29 CFR 1627.3]

### ***Family and Medical Leave Act (FMLA) Records***

Records required to be retained under Family and Medical Leave Act (FMLA); includes an FMLA leave request relating to medical certifications, recertification or medical histories of employees or employees' family members. These records shall be maintained in separate files/records and be treated as confidential medical records, except that supervisors and managers may be informed regarding necessary restrictions and accommodations, not the nature of the condition, first aid and safety personnel may be informed (when appropriate) if the employee may/might require emergency treatment, and government officials investigating compliance with FMLA shall be provided relevant information.

Retention: 3 years [29 CFR 825.500]

### ***Occupational Safety and Health Act (OSHA) Records***



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## COLORADO SPECIAL DISTRICTS

Records required under Occupational Safety and Health Act (OSHA), including complete and accurate records of all medical examinations required by OSHA law. Note: These records may be retained by the medical provider.

Retention: Duration of employment + 30 years, unless a specific OSHA standard provides a different time period [29 CFR 1910.1020]

### 15.200 Policies And Procedures - Personnel

Handbooks, manuals, directives and other written statements or summaries of policies and procedures governing personnel and human resource matters pertaining to employment with the special district. See also *Schedule 7 Policies and Procedures Documentation*.

Retention: Until updated, *except* retain permanently all documentation that would be useful in establishing past policies or procedures in settling personnel disputes

#### ***Recruitment and Interviewing Procedures***

Guidelines for recruitment and interviewing processes for hiring of district employees.

Retention: 1 year + current

### 15.210 Regulatory Agency Information

See *Schedule 7 Legislation and Regulatory Actions*.

### 15.220 Reports - Personnel

See *Schedule 15 Pension Records and Payroll Records*.

### 15.230 Safety

See *Schedule 15 Health and Safety Records*.

### 15.240 Signature Certificates

Facsimile signature certificates of any authorized district officer that are filed with the Secretary of State's office for authentication and verification of the signature of the official on district documents.[CRS 11-55-103]

Retention: 1 year after end of employment or board service

### 15.250 Social Security

See *Schedule 15 Benefits – Benefit Plans*.

### 15.260 Test Records

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## COLORADO SPECIAL DISTRICTS

See *Schedule 15 Job Records*.

### **15.270 Training Information**

Information presented to orient new employees regarding policies and procedures.

Retention: 1 year + current

### **15.280 Unemployment Insurance**

Reports and claim records for unemployment insurance payments.

Retention: 6 years + current

### **15.290 Volunteer Worker Records**

Records documenting work performed for the district by citizens without compensation for their services.

Retention: 3 years after separation

### **15.300 Work Schedules**

#### ***Employee On-Call Schedule***

Retention: 2 years + current

### **15.310 Workers' Compensation**

Injury reports and supplemental reports and claim records for workers' compensation. See also *5.240.E, Insurance Policies*.

Retention: 6 years + current

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 16

#### PROPERTY RECORDS

General Description: Records of real property considered for acquisition or owned, sold or vacated by the special district. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies:*** *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 16.10 Acquisition Records

Records documenting the acquisition and ownership of real property by the district, including appraisals, quiet title actions, condemnations and eminent domain actions, purchase of property and similar actions to acquire land or real property.

Retention: Permanent

#### 16.20 Auction Records

See *Schedule 5 Fixed Asset Records.*

#### 16.30 Buildings And Structures - Special District

Records relating to acquisition, construction and sale of buildings and structures owned by the special district.

Retention: 6 years after disposition of building or structure

#### 16.50 Deeds And Dedications

Conveyances of property or property rights to or from the special district, including warranty deeds, dedication deeds and similar documents.

Retention: Permanent

#### 16.60 Easements And Rights-Of-Way

##### ***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

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## COLORADO SPECIAL DISTRICTS

### ***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

### **16.70 Encroachments**

See *Schedule 12 Encroachment Permits*.

### **16.80 Fleet And Equipment Records**

See *Schedule 6 Fleet and Equipment Records*.

### **16.90 Inventories**

See *Schedule 5 Fixed Asset Records*.

### **16.100 Leases**

Agreements through which the special district obtains the right to use property owned by another, or through which the district grants the right to use district property to another party, for a specified period of time in exchange for the payment of rental; includes leases, subleases, assignments of leases, rental rates, terms of property use, etc. See also *Schedule 5 Purchasing Records – Lease Purchase Records*.

Retention: 6 years after termination of lease

### **16.110 Maintenance, Upkeep And Damage Records**

Records documenting the minor maintenance, repair and upkeep of district owned facilities and property. See also *Schedule 16 Work Orders – Property*.

Retention: 1 year + current

#### ***Chemical Application Records***

Records documenting the application of chemicals such as pesticides, herbicides and fertilizers to parks and other district property. See also *Schedule 15 Health and Safety Records – Hazardous Materials Exposure*.

Retention: 3 years after application

#### ***Damage Records***

Records of damage to district property, including signs, trees, park facilities, buildings and fences.

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## COLORADO SPECIAL DISTRICTS

Retention: 3 years after date of last action if not litigated; if litigated see Schedule 13

### ***Inspection Records***

Records documenting periodic inspection of parks and facilities to check for damage and recommend repairs and maintenance.

Retention: 2 years

### **16.120 Parks**

Historical and informational records regarding each of the district's parks, including correspondence, architectural drawings, park histories, photographs, etc.

Retention: Permanent

### **16.130 Projects**

Construction, renovation or other building projects on district owned property. See *Schedule 7 Project Files*.

### **16.140 Rights-Of-Way**

See *Schedule 16 Easements and Rights-of-Way*.

### **16.150 Sale Or Transfer Of Property Records**

Records pertaining to transactions for the sale or trade of land, buildings or other real property owned by the special district.

Retention: Permanent

### **16.155 Security Records**

#### ***Automated Access System Records***

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.

Retention: 1 year + current

#### ***Entry and Exit Log Sheets***

Retained to document entry and exit to and from secured areas.

Retention: 1 year + current

#### ***Videotapes Related to Security***

##### ***Facility Security of District Buildings***

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## COLORADO SPECIAL DISTRICTS

Video recordings from security cameras in public areas of district buildings. Security setups vary and recordings may be continuous, stop-frame or random use. In addition to visual feed, videos also show date and time indexing information. See 3.135 for surveillance recordings made in election areas.

Retention: 30 days

### 16.160 trees

Records pertaining to the planting, removal, care and inventory of trees on district owned property.

#### ***Tree Inventory***

Retention: Until superseded

### 16.165 Utility Locate Requests

Records of utility and infrastructure locate requests processed by the district.

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

### 16.170 Vacations - Easements And Rights-Of-Way

See *Schedule 10 Vacations – Street, Alley and Right-of-Way*.

### 16.180 Work Orders - Property

Request and authorization forms for repair or maintenance work on district owned facilities, signs, structures, etc.

Retention: 2 years

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

### SCHEDULE NO. 17

#### PUBLIC SAFETY RECORDS

General Description: Records relating to the enforcement and protective service functions of the district. *The specified retention period applies to the information contained within the record, regardless of the physical format of the record (paper, microfilm, computer disk or tape, optical disk, etc.).*

***Duplicate Copies:*** *Provided that no retention period is specified for duplicate copies, retain those 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.*

#### 17.10 Agreements And Contracts

See *Schedule 7 Agreements and Contracts.*

#### 17.30 Civil Defense

See *Schedule 17 Emergency Planning and Response.*

#### 17.40 Disaster Response Planning

See *Schedule 17 Emergency Planning and Response.*

#### 17.50 Emergency Planning And Response

##### ***Emergency Operations and Management Plans***

Records relating to disaster, emergency and civil defense planning and preparation; implementation and testing of disaster warning systems and response planning; disaster response and emergency planning and preparedness of the district. Includes emergency operations plans, incident response plans, and disaster management and recovery plans. See also *Schedule 6 Equipment Records.*

Retention: 1 year + current after superseded, *except* retain 1 copy for historical purposes

##### ***Incident Records – Disasters and Emergencies***

Documentation of the extent and impacts of natural or manmade disasters and emergency incidents and actions taken by the district in response to such incidents; includes records such as 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.

Retention: Permanent

##### ***Mutual Aid Agreements***

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## COLORADO SPECIAL DISTRICTS

See *Schedule 7 Agreements and Contracts*.

### 17.60 Equipment - Public Safety

Records pertaining to equipment used by emergency services districts. See also *Schedule 6 Equipment Records*.

#### ***Emergency 9-1-1 Service***

Retention: 5 years after superseded

#### ***Warning Systems – Emergencies and Disasters***

See *Schedule 6 Equipment Records*.

### 17.70 Fire And Rescue Activity Records

Records pertaining to fire suppression and prevention and emergency rescue functions.

#### ***Burning Permits***

See *Schedule 12 Permit Records*.

#### ***Call Sheets – Rescue Unit***

Retention: 5 years + current

#### ***Equipment***

See also *Schedule 6*.

#### ***Fire Hydrant Records***

Documentation of locations, specifications, maintenance, testing and repair of water hydrants in the district or special district water system.

Retention: 1 year after hydrant is replaced or removed from service

#### ***Pumper Tests and Hose Tests***

Retention: 1 year after disposal of equipment

#### ***Fire Code***

See *Schedule 7 Code Book Records*.

#### ***Fire Code Board of Appeals***



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See *Schedule 1 Building Board Case Files*.

### ***Fire Insurance Rate Maps***

See *Schedule 7 Maps and Drawings*.

### ***Incident Records***

#### ***Fire Call Sheets***

Retention: 5 years + current

#### ***Fire Prevention Schedule***

Retention: 1 year + current

#### ***Incident Investigations***

Records pertaining to investigations regarding fires and other incidents. See also *Schedule 17 Hazardous Materials*.

#### ***Fatality***

Retention: Permanent

#### ***Nonfatality***

Retention: 10 years + current

#### ***Noncriminal***

Retention: 2 years + current

#### ***Rescue Incident Reports***

Retention: Permanent

### ***Run Sheets – Fire and Rescue***

Retention: Permanent

### ***Inspections***

#### ***Business and School Inspection Records***

Records of inspections of commercial establishments and schools.

# RECORDS MANAGEMENT MANUAL

## COLORADO SPECIAL DISTRICTS

Retention: Permanent

### ***Intelligence Files (Arson)***

Records containing information regarding individuals and groups.

### ***Multiple Contacts***

Retention: 5 years

### ***No Further Contact***

Retention: 1 year + current

### ***Routine Inspections***

Records of routine fire prevention and other related inspections performed by the fire district.

Retention: 3 years + current]

### ***Requests for Service***

Retention: 2 years + current

### ***S.A.R.A. Tier II Reports***

Superfund Amendments Reauthorization Act reports.

Retention: 1 year + current

### ***Training Records***

See *Schedule 15 Training Information*.

## **17.75 Fire District Records (If International Fire Code Is Adopted)**

Special districts that adopt the International Fire Code (IFC) should follow the records retention provisions set out in the IFC as follows, unless a local exception is adopted by resolution.

### ***Approval and Variance Records***

Retention: Not less than 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.1]

### ***Fire Records***

Retention: Not less than 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.3]

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## COLORADO SPECIAL DISTRICTS

### ***Inspection Records***

Retention: Not less than 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.2]

### ***Statistical Records – Fire Department***

Statistics regarding the extent of fires and the damage caused by fires.

Retention: Not less than 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations [IFC §104.6.3]

## **17.80 Hazardous Materials**

Records relating to hazardous materials regulation, prevention, safety and incident response and investigation.

### ***Asbestos Removal Permits***

See *Schedule 12 Permit Records*.

### ***Incident Prevention Reports***

Retention: 3 years + current

### ***Incident Response Planning***

See *Schedule 17 Emergency Planning and Response*.

### ***Investigations***

Records of investigations of hazardous materials incidents.

### ***Criminal Hazardous Materials Incidents***

Retention: Permanent

### ***Noncriminal Hazardous Materials Incidents***

Retention: 2 years after costs are recovered

### ***Registration – Hazardous Materials***

Retention: Permanent

### ***Underground Storage Tank Inspections***

See *Schedule 11 Environmental Records* and *Schedule 12 Permit Records*.

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## COLORADO SPECIAL DISTRICTS

### *Toxic Site (Designated)*

See *Schedule 11 Environmental Records*.

### **17.90 Emergency Services Records**

#### ***Logs***

Listings kept to track specific routine daily activities.

#### ***Dispatch Logs***

Retention: 1 year + current

#### ***Routine Activity Logs***

Documentation of routine home and welfare checks, alarm checks, and similar activities.

Retention: 1 year + current

#### ***Traffic Accident Logs***

Retention: 2 years + current

#### **Open Records Requests**

See 7.235, Open Records Requests.

#### ***Reports***

##### ***Activity Summaries***

Routine reports and documentation regarding daily activities and assignments, dispatch logs, field activity, fire fighter or EMT activity, ride-along records, roll call records and work schedules.

Retention: 1 year + current]

##### ***Records Checks***

Retention: 2 years + current

##### ***Reports – Departmental***

See *Schedule 7 Reports*.

##### ***Ride-Along Program Records***

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## COLORADO SPECIAL DISTRICTS

Records of programs that allow citizens to ride-along with fire fighters or EMS providers.

### ***Approved to Ride-Along***

Retention: 3 years + current

### ***Denied Approval to Ride-Along***

Retention: Permanent

### ***Liability Waivers***

See *Schedule 7 Program Records*

### ***Training Records***

Records documenting training for fire and EMS personnel, test scores and training reports. See also *Schedule 15 Training Records*.

Retention: 5 years after employee's termination<sup>24</sup>

### **17.100 Procedures And Policies**

See *Schedule 7 Policies and Procedures Documentation*.

### **17.120 Tape Recordings - Dispatch**

Audio tapes recorded to monitor radio transmissions.

Retention: 90 days