

FREDERICK-FIRESTONE FIRE PROTECTION DISTRICT STANDARD OPERATING PROCEDURE

Section 100.16

Records Release and Retention

Purpose: To ensure compliance with Colorado law and uniformity in the release, recordkeeping, and retention of Frederick-Firestone Fire Protection District (FFFPD) records.

Scope: This procedure applies to all FFFPD members.

Policy

- A. FFFPD complies with all Federal and State laws relating to the retention, protection and disclosure of records, including but not limited to, the Colorado Public (Open) Records Act, C.R.S. §24-72-101, *et seq.* ("Open Records Act"), regulations promulgated by the Colorado Department of Public Health and Environment ("CDPHE Regulations"), and the Health Insurance Portability and Accountability Act of 1996 and the rules promulgated by the U.S. Department of Health and Human Services, which interprets and implements the same (collectively, "HIPAA"). Specifically, and without limiting the foregoing, FFFPD will comply with such laws with respect to whether it must, may, or cannot produce public records, or other documents or information requested, and the fees it charges for producing such public records, or other documents or information.
- B. A request by a citizen, business or nonprofit organization, the media, a Federal or State agency, local government, or FFFPD member, or a subpoena, administrative or court order, or other legal process, to inspect and/or copy any FFFPD record (collectively referred to as a "Records Request") shall be processed according to the procedures contained herein.

Definitions

1. Audit - An examination of records or accounts to verify their accuracy. The audit may also include a corrective action plan.
2. Authorized Access:
 - Level 5: Board of Directors.
 - Level 4: Fire Chief and his/her designee.
 - Level 3: Division Chief, Battalion Chief, and Administrative Manager.
 - Level 2: Captains and Acting Officer staff; and Administrative staff.

Level 1: Firefighter and Paramedic staff.

3. Board Agenda - A list of items or issues to be addressed or accomplished in an orderly fashion by the FFFPD Board of Directors.
4. Board Packet - A group of written reports prepared by the administrative staff providing each Board of Directors member with pertinent operational and financial information typically at least 72 hours prior to a regular or special board meeting.
5. Board of Directors - The governing body of FFFPD, which is responsible for all aspects of the administration, operations, finances and policies of FFFPD. The Board of Directors consists of five (5) elected officials.
6. Budget - The total sum of money allocated for a particular purpose and/or time period.
7. Bylaws - The rules and guidelines governing the internal affairs of the FFFPD Board of Directors.
8. Contract - An agreement between two or more parties, especially one that is written and enforceable by law.
9. Emergency Operations Plan:
 - Assigns responsibility to organizations and individuals for carrying out specific actions at projected times and places in an emergency that exceeds the capability or routine responsibility of any one agency, e.g., the fire department.
 - Sets forth lines of authority and organizational relationships, and shows how all actions will be coordinated.
 - Describes how people and property will be protected in emergencies and disasters.
 - Identifies personnel, equipment, facilities, supplies, and other resources available--within the jurisdiction or by agreement with other jurisdictions--for use during response and recovery operations.
 - Identifies steps to address mitigation concerns during response and recovery activities.
10. Executive Session - At a regular or special meeting of the Board of Directors, the Board may recess the public meeting to an executive session (closed to the public) to discuss issues subject to negotiations, personnel matters, receive advice of legal counsel and/or for any other purpose allowed by the Colorado Sunshine Law.

11. Inter-Governmental Agreement - A legal document existing between two or more governmental entities for the purpose of establishing service provisions, sharing of resources, or other relationship.
12. Minutes - An official written record of all the proceedings of the Board, which indicate the presence or absence of each Board member and a record of the vote, or of a failure or abstention to vote, of each Board member on every motion.
13. Notice of Meeting - A written statement on FFFPD letterhead announcing a meeting of a quorum of the Board of Directors. The notice must contain the date, time, location, purpose of the meeting. Each notice must be filed with the Weld County Clerk and Recorder and posted in three public locations within FFFPD's boundaries 72 hours prior to the meeting. NOTE: Notice of a Public Hearing must meet the same criteria as stated and must be published one in a local newspaper before the Public Hearing.
14. Public Record - The term "public records" shall have the same meaning as set forth in the Open Records Act.
15. Purchase Order - An individually numbered written request and authorization to buy or supply goods or services.
16. Retention Periods - Retention periods are based on legal requirements for those records governed by such legal requirements and/or on common usage and industry standards for retention of special district records to meet typical administrative, operational or reference requirements. The retention time period indicates the minimum length of time that the **record copy** should be retained by FFFPD before disposal can take place.
17. Special District Election - Regular special district elections for the position of Director shall be held on the Tuesday following the first Monday of May in every even-numbered year. No person shall be permitted to vote in an election unless that person is an eligible elector. The term of office for a Director shall be four (4) years with a term limit of two (2) consecutive terms.
18. Tape of Executive Session - The electronic recording of the proceedings of an authorized executive session within a Board of Directors regular or special meeting.

1. SUBPOENAS

A. Subpoenas of individual employees/members

In the event a subpoena is served or issued to an employee or member of FFFPD, the following procedure shall be followed:

- The subpoena always can be served upon the individual firefighters if it is for them individually and not FFFPD.
- Only the individual member/employee or legal counsel can sign a waiver and acceptance of service of a subpoena for a member/employee.
- No other Staff member can sign the waivers and acceptance of service for the members/employees, if the member/employee is named individually in the subpoenas.

- District Staff shall make necessary arrangements for the process server to meet with the employee/member at the Business & Education Center at a designated, prompt time to sign the waiver and acceptance of service of a subpoena.
- Anytime such a subpoena is received by a member/employee for action performed in the line of duty, the Fire Chief shall be immediately notified.

B. Subpoenas of the District

In the event a subpoena is served or issued to FFFPD and not an individual, the following procedure shall be followed:

- Service of process can be made only by delivering a copy of the subpoena to the Fire Chief or Board Officer (Director) (Rule 4(e)(11)). Only the Fire Chief and the Board Officers are authorized to accept service of process for FFFPD.
- If such a Subpoena is received, the Fire Chief shall be immediately notified.
- The Fire Chief shall make any necessary arrangements to meet or arrange for a Board Officer to meet the process server at a designated time and location to sign the waiver and acceptance of service of a subpoena.

2. RECORDS RELEASE

A. All Records Requests Shall Be In Writing:

All Records Requests shall be in writing, and shall comply with the requirements of the Open Records Act, CDPHE Regulations, HIPAA, and any other applicable Federal or State laws. Anyone making a verbal Records Request shall be asked to submit the Records Request in writing. If the request is for an operations-related report that does not contain protected health information, a “Request for Fire District Reports” shall be completed. A “Protected Health Information Access Request” shall be completed for any record containing any protected health information.

B. Individuals Responsible for Processing Records Requests:

1. The Division Chief of Life Safety shall be responsible for processing all Records Requests relating to FFFPD operations and patient care.
2. The Administrative Manager shall be responsible for responding to all Records Requests relating to FFFPD’s administrative, personnel and financial functions.
3. Every Records Request shall be submitted to the Fire Chief for approval prior to release of any FFFPD records.

C. Procedure

a. Deadlines for Responding to Records Requests

Except as provided in Section 2(C)(f)(g) below, FFFPD must respond to all Records Requests within three (3) business days, unless there are “extenuating circumstances”

(defined in the Open Records Act), in which case FFFPD may take up to seven (7) business days to respond to a Records Request. The FFFPD Fire Chief shall determine whether extenuating circumstances exist.

b. Request from Insurance Company or Law Firm

- a. Verify that request is valid
 - Completed Request for Fire District Report form
 - Completed Protected Health Information Access Request form for patient specific reports or approved HIPAA compliant Protected Health Information form
- b. Photocopy all requested records
- c. Prepare invoice using “Administrative Fee Schedule”
- d. Attach copies of request forms to original documents, and file by case report number
- e. Mail, email or fax records with cover-letter as requested with a copy of the request forms
- f. Provide Administrative Manager with a copy of invoice for accounts receivable.

c. Request from Coroner’s Office.

- a. Verify that request is valid
 - Completed Request for Fire District Report form
 - The Coroner’s office is not required to complete a Protected Health Information Access Request form for patient specific reports
- b. Photocopy all requested records
- c. Attach copies of request forms to original documents, and file by case report number
- d. Mail, email or fax records with cover-letter as requested with a copy of the request forms

d. Request from Government Entity

- a. Verify that request is valid
 - Completed Request for Fire District Report form
 - Completed Protected Health Information Access Request form for patient specific reports or approved HIPAA compliant Protected Health Information form

- b. Photocopy all requested records
- c. Attach copies of request forms to original documents, and file by case report number
- d. Mail, email or fax records with cover-letter as requested with a copy of the request forms
- e. **Request from the general public**
 - a. Verify that request is valid
 - Completed Request for Fire District Report form
 - Completed Protected Health Information Access Request form for patient specific reports or approved HIPAA compliant Protected Health Information form
 - b. Photocopy all requested records
 - c. Attach copies of request forms to original documents, and file by case report number
 - d. Prepare invoice using “Administrative Fee Schedule”
 - e. Contact requester and notify request is ready for pick up, or transmit records with invoice by mail, fax, or email if specifically requested to do so.
 - f. If not specifically requested to transmit records by mail, fax, or email, provide sealed records with invoice to Administrative Manager for pick-up by requester.
- f. **Fees and Charges**
 - a. FFFPD members shall comply with the requirements of the Open Records Act and other applicable Federal and State laws, with respect to the fees and charges assessed for copies, printouts and photographs of public records in response to a Records Request pursuant to the Open Records Act.
 - b. Where the fee for a certified copy or other copy, printout, or photograph of a public record is specifically prescribed by law, the specific fee shall be charged. If a fee is not specifically prescribed by law, FFFPD will furnish copies, printouts, or photographs of a public record for a fee of \$0.25 per standard page. FFFPD shall charge a fee not to exceed the actual cost of providing a copy, photograph, or printout in a form other than a standard page. FFFPD shall charge the actual costs it incurs in having the copies made off-site by an outside copying facility.

- c. In accordance with the CDPHE Regulations, if FFFPD produces copies, printouts, or photographs of medical or mental health records pursuant to C.R.S. § 24-72-204(3)(a)(1), FFFPD shall charge the following fees:
 - 1) For requests made by the patient, patient's personal representative, or other representative of the patient with the patient's written authorization (as defined under HIPAA § 164.502(g)):
 - i. \$14.00 for the first 10 or fewer pages;
 - ii. \$0.50 per page for pages 11-40; and
 - iii. \$0.33 per page for every additional page.

The per-page fee for medical or mental health records copied from microfilm is \$1.50 per page. Actual postage or shipping costs and applicable sales tax, if any, also may be charged. FFFPD may present a justification to the Colorado Department of Public Health and Environment to charge additional sums for one or more specific classes of medical records or services, but will not charge such additional sums unless approved by the FFFPD Board and the Colorado Department of Public Health and Environment.

- d. If, in response to a specific request, FFFPD's custodian of records performs a manipulation of data so as to generate a record in a form not used by FFFPD (including a privilege log), an administrative fee of \$20.00 per hour for each hour after the first hour shall be charged the person or entity making the request; provided, however, that the fee shall not exceed the actual cost of manipulating the data and generating the record in accordance with the request. An individual or entity making a subsequent request for the same or similar records shall be charged the same fee.
- e. If the public record is the result of computer output other than word processing, the fee for a copy, printout, or photograph of the public record shall be based on recovery of the actual incremental costs of providing the electronic services and products, together with a reasonable portion of the costs associated with building and maintaining the information system. The fee may be reduced or waived by FFFPD's custodian of records if the electronic services and products are to be used for a public purpose, including public agency program support, nonprofit activities, journalism, and academic research. Fee reductions and waivers shall be uniformly applied among persons and entities that are similarly situated.
- f. If the amount of time required by FFFPD to research and retrieve the documents necessary to fulfill a specific Records Request exceeds 1 hour, including the time required to identify and segregate records that must or may not be produced, the person or entity making the request shall be charged a research and retrieval fee of \$20.00 per hour for each hour after the first hour.

- g. Upon request for transmission of the public record, FFFPD will transmit the public record by United States mail, other delivery service, facsimile, or electronic mail. If transmitting the public record pursuant to this paragraph, FFFPD may notify the record requester that a copy of the public record is available, but will be sent only when FFFPD receives payment or makes satisfactory arrangements for payment of all costs associated with transmitting the public record and for all other fees lawfully allowed; provided, however, that no transmission fees will be charged for transmitting the public record via electronic mail. FFFPD will transmit the public record within three business days following its receipt of, or making satisfactory arrangements to receive, such payment.

3. RETENTION OF PUBLIC RECORDS

- A. Guidelines for the identification and handling of FFFPD records will be in accordance with the 2008 Colorado Special District Records Retention Schedule (Appendix) as prepared by the Colorado State Archivist and adopted by FFFPD Board of Directors, with local amendments, on December 12, 2008.

Fire Chief

Date

Appendix

Colorado Special Districts Records Retention Schedule

TABLE OF CONTENTS

Schedule 1. Building and Structure Records

- 1.10 Address History Files
- 1.40 Building and Other Uniform Codes
- 1.50 Building Board Case Files
- 1.60 Certificates of Occupancy
- 1.70 Communication Tower Structures
- 1.90 Contractor's Licenses
- 1.140 Housing Rehabilitation Projects
- 1.150 Inspection Records
- 1.160 Landmark and Historic Designations
- 1.170 Mobile Home Standards
- 1.180 Policies and Procedures
- 1.200 Regulations – Building
- 1.210 Reports – Building Activity
- 1.230 Standards – Building

Schedule 2. Reserved

Schedule 3. Election Records

- 3.10 Absentee Voter Records
- 3.20 Ballot Issue Comments
- 3.30 Ballots
- 3.40 Campaign Reports and Statements
- 3.50 Certifications of Election
- 3.55 Coordinated Election Records
- 3.60 Election Judges Records
- 3.65 Mail Ballot Election Records
- 3.70 Maps – Election
- 3.80 Nomination Records
- 3.90 Notices of Election
- 3.100 Oaths and Affidavits
- 3.110 Petitions – Election
- 3.120 Polling Records
- 3.130 Receipts and Accounting Forms
- 3.135 Surveillance Recordings – Election Areas
- 3.140 Tabulation Records

Schedule 4. Reserved

Schedule 5. Financial Records

- 5.10 Accounts Payable Records
- 5.20 Accounts Receivable Records
- 5.30 Agreements and Contracts – Financial
- 5.40 Audit Records
- 5.50 Bank Records
- 5.55 Bankruptcy and Foreclosure Records
- 5.60 Bids
- 5.70 Billing Records
- 5.80 Bond Issue Records
- 5.90 Bonds – Public Officials
- 5.100 Budget Records
- 5.120 County Revenue Programs
- 5.130 Expense Records
- 5.140 Federal Revenue Programs
- 5.150 Fee and Rate Schedules
- 5.160 Financial Guarantees
- 5.170 Financial Reports
- 5.180 Fixed Asset Records
- 5.190 Franchise Records
- 5.200 Fund Records
- 5.210 Government Revenue Programs
- 5.220 Grant Records
- 5.240 Insurance Records
- 5.250 Inventories
- 5.260 Investment Records
- 5.270 Ledgers and Journals
- 5.280 Loan Records
- 5.290 Payroll Records
- 5.300 Purchasing Records
- 5.310 Rate Schedules
- 5.315 Rebate Program Records
- 5.320 Receipts – Fees Paid
- 5.330 Reports – Financial
- 5.340 Tax Collection Records
- 5.350 Travel Expenses
- 5.360 Utility Billing
- 5.370 Warrants/Checks
- 5.380 Worksheets – Financial

Schedule 6. Fleet and Equipment Records

- 6.10 Agreements – Acquisition, Lease, Maintenance and Service
- 6.20 Auction Records
- 6.30 Bills of Sale

- 6.40 Communications System Licenses
- 6.50 Computer System Records
- 6.60 Equipment Records
- 6.70 Fuel Records
- 6.80 Insurance Coverage
- 6.90 Inventories – Fleet and Equipment
- 6.100 Lease-Purchase Records
- 6.110 Maintenance and Safety Records
- 6.120 Manuals – Vehicles and Equipment
- 6.130 Office Equipment Records
- 6.140 Policies and Procedures
- 6.150 Purchasing Records
- 6.160 Telephone System
- 6.170 Unclaimed Personal Property
- 6.180 Vehicle Histories
- 6.190 Vehicle Registration Certificates
- 6.200 Vehicle Titles
- 6.210 Warranties
- 6.220 Work Orders

Schedule 7. General Administrative Records

- 7.05 Administrative Proceedings Records
- 7.10 Affidavits Of Publication
- 7.20 Agreements And Contracts
- 7.30 Associations And Organizations
- 7.40 Awards And Honors
- 7.50 Charter Records
- 7.60 Code Book Records
- 7.70 Committees - Internal
- 7.80 Complaints, Routine Service Requests And Nonbinding Petitions
- 7.90 Correspondence And General Documentation
- 7.100 Electronic Records
- 7.110 Event Records
- 7.120 External Groups And Agencies
- 7.130 Forms - Blank
- 7.140 General Subject Files
- 7.150 Legislation And Regulatory Actions
- 7.160 Mailing And Distribution Records
- 7.170 Manuals And Handbooks
- 7.180 Maps And Drawings
- 7.190 Maps - Informational
- 7.200 Memberships
- 7.210 Minutes
- 7.220 News Clippings
- 7.230 News Releases
- 7.235 Open Records Requests and Supporting Documentation

- 7.240 Organization Files
- 7.250 Petitions, Objections And Remonstrances
- 7.260 Policies And Procedures Documentation
- 7.270 Program Records
- 7.280 Project Files
- 7.290 Public Relations Records
- 7.300 Publications
- 7.310 Records Finding Aids
- 7.320 Regulations And Standards
- 7.330 Reports
- 7.340 Retention Schedules And Compliance Certificates
- 7.350 Rules And Regulations
- 7.360 Software And Software Manuals
- 7.365 Special District Records
- 7.370 Standards
- 7.380 Studies, Plans And Reports
- 7.390 Surveys And Questionnaires
- 7.395 Surveys Conducted By Special Districts
- 7.400 Training And Conference Materials
- 7.410 Worksheets And Drafts

Schedule 8. Governing Body Records

- 8.10 Agendas and Supporting Documentation
- 8.20 Agendas
- 8.30 Appointments
- 8.40 Bylaws
- 8.45 Committee Records - Governing Body
- 8.50 Enterprise Board Records
- 8.60 Goals
- 8.70 Governing Body as Another Decision-Making Body
- 8.80 Legislative Lobbying Records
- 8.90 List of Members
- 8.100 Member Records
- 8.110 Minutes and Supporting Documentation
- 8.120 Notes Taken at Meetings
- 8.130 Notices of Meetings
- 8.140 Oaths of Office
- 8.160 Orientation and Training Information
- 8.170 Packets of Information Distributed to Governing Body
- 8.180 Proclamations
- 8.200 Resolutions
- 8.210 Signature Certificates
- 8.220 Tapes of Meetings

Schedule 9. Historical Records

- 9.05 Archaeological and Historical Site Records
- 9.10 Community and Municipal Histories
- 9.20 Community Records
- 9.30 Historic Buildings and Districts
- 9.40 Historical Society
- 9.50 Incorporation Records
- 9.60 Landmarks
- 9.70 Logo – Municipal
- 9.80 News Clippings
- 9.90 Newspapers – Local
- 9.100 Photographic Records with Historical Value
- 9.110 Records Older Than 1900
- 9.120 Scrapbooks
- 9.130 Seal, Logo and Other Intellectual Property Records

Schedule 10. Infrastructure Records

- 10.10 Communications Systems
- 10.20 Electricity Service
- 10.30 Encroachments – Utility Lines
- 10.40 Enterprise Board Records
- 10.50 Franchises
- 10.60 Gas Service
- 10.70 Impact Fees
- 10.80 Improvement Districts
- 10.90 Maps and Drawings
- 10.100 Policies and Procedures
- 10.110 Project Records
- 10.120 Railroad Records
- 10.130 Regulations
- 10.140 Rights-of-Way and Easements
- 10.150 Solid Waste Management
- 10.160 Standards
- 10.170 State Highway System Records
- 10.180 Stormwater Drainage System
- 10.190 Street and Traffic Operations Records
- 10.200 Street Engineering Records
- 10.210 Studies and Reports
- 10.220 Traffic Code
- 10.230 Traffic Operations Records
- 10.240 Transportation System Records
- 10.250 Utility Features
- 10.290 Water and Sewer Distribution and Storage System Records
- 10.300 Water and Sewer Treatment System Records
- 10.310 Water Source of Supply Records

Schedule 11. Land Use and Planning Records

- 11.10 Annexation Case Files
- 11.15 Annexation Review Records
- 11.20 Census and Population Records
- 11.45 Development Review Records
- 11.70 Environmental Records
- 11.80 Fee Receipts
- 11.90 Floodplain Records
- 11.100 Maps, Plats and Plans
- 11.110 Nuisances
- 11.130 Plans, Studies and Reports
- 11.140 Referrals From Other Jurisdictions
- 11.180 Violations – Code
- 11.190 Zoning Records

Schedule 12. Licenses and Permits

- 12.10 Bonds – Licenses and Permits
- 12.15 Licenses Issued To The District
- 12.30 Permit Records
- 12.35 Permits Issued To The District
- 12.40 Registers – Licenses and Permits

Schedule 13. Litigation and Legal Counsel Records

- 13.10 Attorney Correspondence
- 13.20 Billings – Legal Counsel
- 13.30 Claims
- 13.50 Garnishments
- 13.60 Legal Opinions
- 13.70 Litigation Case Records

Schedule 14. Reserved

Schedule 15. Personnel Records

- 15.10 Affirmative Action Records
- 15.20 Agreements And Contracts - Personnel
- 15.30 Americans With Disability Act Records
- 15.40 Benefits
- 15.50 Bonds - Public Officials
- 15.60 Compliance With Regulatory Requirements
- 15.65 Drivers License Verifications
- 15.70 Employee Records - Active And Terminated
- 15.80 Employee Records - Temporary And Seasonal
- 15.85 Employment Verifications
- 15.90 Expense Records
- 15.100 Garnishments
- 15.110 Grievances

- 15.120 Health And Safety Records
- 15.130 I-9 Forms
- 15.140 Insurance - Employee
- 15.150 Job Records
- 15.160 Oaths Of Office
- 15.170 Payroll Records
- 15.180 Pension Records
- 15.190 Physical And Medical Records
- 15.200 Policies And Procedures - Personnel
- 15.210 Regulatory Agency Information
- 15.220 Reports - Personnel
- 15.230 Safety
- 15.240 Signature Certificates
- 15.250 Social Security
- 15.260 Test Records
- 15.270 Training Information
- 15.280 Unemployment Insurance
- 15.290 Volunteer Worker Records
- 15.300 Work Schedules
- 15.310 Workers' Compensation

Schedule 16. Property Records

- 16.10 Acquisition Records
- 16.20 Auction Records
- 16.30 Buildings And Structures - Municipal
- 16.50 Deeds And Dedications
- 16.60 Easements And Rights-Of-Way
- 16.70 Encroachments
- 16.80 Fleet And Equipment Records
- 16.90 Inventories
- 16.100 Leases
- 16.110 Maintenance, Upkeep And Damage Records
- 16.120 Parks
- 16.130 Projects
- 16.140 Rights-Of-Way
- 16.150 Sale Or Transfer Of Property Records
- 16.155 Security Records
- 16.160 Trees
- 16.165 Utility Locate Requests
- 16.170 Vacations - Easements And Rights-Of-Way
- 16.180 Work Orders - Property

Schedule 17. Public Safety Records

- 17.10 Agreements And Contracts
- 17.30 Civil Defense
- 17.40 Disaster Response Planning

- 17.50 Emergency Planning And Response
- 17.60 Equipment - Public Safety
- 17.70 Fire And Rescue Activity Records
- 17.75 Fire District Records (If International Fire Code Is Adopted)
- 17.80 Hazardous Materials
- 17.90 Police Records
- 17.100 Procedures And Policies
- 17.110 Summonses And Complaints
- 17.120 Tape Recordings - Dispatch

Schedule 18. Non-Records

- 18.10 Catalogs, trade journals and other printed materials
- 18.20 Informational or extra copies of correspondence, completed forms, bulletins, newsletters, etc., prepared for reference and information distribution.
- 18.30 Letters of transmittal
- 18.40 Miscellaneous memoranda or notices
- 18.50 Preliminary drafts of letters, memoranda, reports, worksheets and informal notes
- 18.60 Routing slips, sheets, post-it notes or memos
- 18.70 Outdated or superseded stocks of publications
- 18.80 Telephone messages
- 18.90 Library or museum material
- 18.100 Identical duplicate copies of records.
- 18.110 Notes, tapes or recordings that have been transcribed.
- 18.120 Temporary or transitory material

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 certificates of occupancy, building inspection reports, unsafe building actions, and variances granted.

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, or for life of building or until building classification changes, whichever is greater.

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 (life of building).

1.70 Communication Tower Structures

See *Schedule 12 Permit Records.*

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 (life of building).

Inspection Agencies

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

1.160 Landmark and Historic Designations

Deleted; not applicable to Fire Districts.

1.170 Mobile Home Standards

Deleted; not applicable to Fire Districts.

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

Deleted; not applicable to Fire Districts.

1.230 Standards - Building

Deleted; not applicable to Fire Districts.

SCHEDULE NO. 3

ELECTION RECORDS²

²CRS 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.

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.

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. The statute imposes retention duty on municipal clerk, and the county clerk and recorder; however, if a special district accepts a candidate affidavit, it should follow the same schedule:

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. The statements should be filed with the municipal clerk or the county clerk and recorder, as appropriate; however, if a special district accepts such documents, it should follow the same schedule.

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

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

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.

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

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

Retention: Permanent.

³Election maps have historical value for election analysis, as evidence of evolution and growth of the district and as documentation of District boundary changes.

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.

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.

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.

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.

⁵ The retention schedule follows the requirement set out in state law.

Retention: 25 months after 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

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.

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.

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.

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.

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.

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

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

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.

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 Report" = 3 years.

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

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.

Emergency Medical, Ambulance and Inspection-Related Fees and Rate Schedules and Supporting Documentation

Retention: 1 year + current.

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*.

Annual Reports

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

Retention: Until superseded.

Depreciation Detail

Retention: 3 years + current.

Disposition Records

Records of disposal of district and personal 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.

5.190 Franchise Records.

Deleted; not applicable to Fire Districts.

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.

Instructions for Completing Government Forms

Retention: Until superseded or obsolete.

State Revenue Programs

Conservation Trust Fund (Lottery).

Deleted; not applicable to Fire Districts.

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

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.

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*.

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.

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*.

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.

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.

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

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.

Retention: See Schedule 5 Government Revenue Programs.

Sales and Use Tax Records.

Deleted; not applicable to Fire Districts.

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

Deleted; not applicable to Fire Districts.

5.370 Warrants/Checks

Deleted; not applicable to Fire Districts.

5.380 Worksheets - Financial

Deleted; not applicable to Fire 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

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.

6.60 Equipment Records

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

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

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.

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.

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.

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 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.

Standing (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*.

Retention: 9 years + 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.

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, 4th 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.

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 adoption of policies and procedures and the functions of the district or its departments.

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

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*.

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

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 a 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.

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.

Retention: Until superseded.

Environmental Datasets

Geologic data, soils data, radon data, 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

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.

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.

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

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 or matter to which it relates is concluded (including any appeal), whichever is later.

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.*

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, 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: 6 years + current.

Library Records.

Deleted; not applicable to Fire Districts.

Museum Records.

Deleted; not applicable to Fire Districts.

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, 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 **\$1,000,000**. 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: 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 **\$1,000,000** in value. 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

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 nationally recognized standards used to interpret or implement applicable Fire Codes.

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: 4 years + current.

Monthly or Weekly Reports

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

Retention: 4 years + 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 the fire 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 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 for District directors; for entire period of employment + 2 years for District employees.

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.

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.

Retention: Permanent.

Duplicate Copies: Until superseded.

8.45 Committee Records - Governing Body

Records of standing (ongoing) and ad hoc committees that include 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 ambulance or training 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

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.

Financial Disclosure Statements

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

Retention: 2 years + 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

Hand-written 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

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

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: Until approval of the minutes.

Study Sessions

Retention: Until approval of the meeting.

SCHEDULE NO. 9
HISTORICAL RECORDS¹⁰

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.

Deleted; not applicable to Fire Districts.

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.

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.

¹⁰ 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 (until superseded), 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.

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.

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.

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.

Deleted; not applicable to Fire Districts.

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.

Deleted; not applicable to Fire Districts.

10.60 Gas Service.

Deleted; not applicable to Fire Districts.

10.90 Maps and Drawings

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

Deleted; not applicable to Fire Districts.

Railroad Crossings

Deleted; not applicable to Fire Districts.

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.*

10.150 Solid Waste Management

Deleted; not applicable to Fire Districts

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.

Deleted; not applicable to Fire Districts.

10.190 Street and Traffic Operations Records.

Deleted; not applicable to Fire Districts.

10.200 Street Engineering Records

Deleted; not applicable to Fire Districts.

10.210 Studies and Reports

Deleted; not applicable to Fire Districts.

10.230 Traffic Operations Records

Deleted; not applicable to Fire Districts.

10.240 Transportation System Records

Deleted; not applicable to Fire Districts.

10.250 Utility Features

Deleted; not applicable to Fire Districts.

10.290 Water and Sewer Distribution and Storage System Records

Deleted; not applicable to Fire Districts.

10.300 Water and Sewer Treatment System Records

Deleted; not applicable to Fire 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

Deleted; not applicable to Fire Districts.

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 of 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: 7 years after removal.

Underground Storage Tanks

Retention: 25 years after removal.

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

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. (Does not include plan reviews or other routine submittals for fire prevention.)

Direct Interest to the District

Retention: 6 years provided it is reviewed before destroying.

Other Referrals

Retention: Until no longer needed for reference.

11.180 Violations – Covenant Enforcement

Deleted; not applicable to Fire Districts.

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.

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

Deleted; not applicable to Fire Districts.

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.

Fire Alarm System Permits

Retention: For functional life of system.

Industrial Pretreatment Permits

See Schedule 10 Water and Sewer Treatment System Records.

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: 7 years after removal.

Use Permits

Permits issued by the district for various special or temporary uses.

Retention: 1 year + current.

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

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.

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: Ten years or until claim is resolved, whichever is later; 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

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.

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

Records showing that covered employees, their spouses and dependents have received written notice of continuing group health insurance and COBRA¹⁵ rights, and whether the covered employees, spouses and dependents elected or rejected coverage.

Retention: 3 years + current¹⁶.

Records pertaining to fringe benefits, insurance coverage and benefit plans for employees.

Retention: 3 years + current.

¹⁵ COBRA means Consolidated Omnibus Budget Reconciliation Act of 1985.

¹⁶ Retention period not specified in federal law 26 CFR 4980 B (f)(6) or 29 USC 1166.

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]¹⁷.

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.

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 years¹⁸ [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*.

¹⁷ GRMRC F-19 and P-17 specify permanent retention for pension plans.

¹⁸ GRMRC P-4 specifies 5 years + current; 29 CFR 1602.14 specifies 1 year.

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 District that employees have the appropriate valid drivers' licenses

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.¹⁹

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 year + current.

15.90 Expense Records

See *Schedule 5 Accounts Payable Records*.

15.100 Garnishments

See *Schedule 15 Payroll Records*.

15.110 Grievances

Records of personnel grievances filed by employees.

Retention: 3 years + current after settled.

¹⁹ 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].

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

Manuals, handbooks and similar documentation of safety training provided to employees.

Retention: 2 years + 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.

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*²⁰

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].

²⁰ 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].

Compensation Plans

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 superseded²¹.

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.

Leave Requests

Applications submitted by employees for sick, vacation, compensatory, personal business, family and medical leave, long-term leave and other leave time.

Retention: 3 years + current.

Pay Plans

See *Compensation Plans* above.

Payroll Reports

Employee Longevity Reports

Retention: Permanent.

²¹ 29 CFR 516.6 specifies retention for 2 years.

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: 3 years + current.

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]²².

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].

²² GRMRC P-16, 29 CFR 1602.31 and 29 CFR 516.6 specify retention for 2 years. The model retention schedule follows state law.

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

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: 7 years after separation of employment.

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: 7 years after separation of employment.

Occupational Safety and Health Act (OSHA) Records

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

See Schedule 15 Job Records.

15.270 Training Information

Information presented to orient new employees regarding policies and procedures.

Retention: 7 years after separation of employment.

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: 7 years after termination of volunteer services.

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.

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.

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.

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

16.130 Parks.

Deleted; not applicable to Fire Districts.

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

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

Deleted; not applicable to Fire Districts.

16.165 Utility Locate Requests.

Deleted; not applicable to Fire Districts.

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: 3 years.

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

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 or "Day Sheets" – Rescue Unit

Retention: 5 years + current.

Fire Reports

Retention: 10 years.

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 equipment is taken out of service permanently or disposed of.

Fire Code

See *Schedule 7 Code Book Records*.

Fire Code Board of Appeals

See *Schedule 1 Building Board Case Files*.

Fire Insurance Rate Maps

See Schedule 7 Maps and Drawings.

Incident Records

Fire Call Sheets or "Day 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.

Non-fatality

Retention: 10 years + current or final disposition of case, whichever is later.

Non-criminal

Retention: 2 years + current.

Medical 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.

Retention: Life of building.

Fire Reports /1st, 2nd, 3rd degree arson

Retention: Permanent.

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.

Training Records

See *Schedule 15 Training Information*.

17.75 Fire District Records (If International Fire Code Is Adopted)

Special districts that enforce 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].

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*.

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: 3 years + current.

Routine Activity Logs

Documentation of routine home and welfare checks, alarm checks, and similar activities.

Retention: 3 years + current.

Open Records Requests

See 7.235, Open Records Requests.

Reports

Activity Summaries

Routine reports and documentation regarding daily activities and assignments, field activity, firefighter or EMT activity, ride-along records, roll call records and work schedules.

Retention: 3 years + current.

Records Checks

Retention: 2 years + current.

Reports – Departmental

See *Schedule 7 Reports*.

Ride-Along Program Records

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: 3 years + current.

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: 7 years after employee's termination²⁴.

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.

SCHEDULE NO. 18

NON-RECORDS

The following types of administrative materials have no public record retention value and may be disposed of as soon as they have served their purpose at the discretion of the custodian:

18.10 Catalogs, trade journals and other printed materials received from other offices, commercial firms or private institutions, which require no action and are not needed for documentary purposes.

18.20 Informational or extra copies of correspondence, completed forms, bulletins, newsletters, etc., prepared for reference and information distribution.

18.30 Letters of transmittal that do not add any information to the transmitted materials.

18.40 Miscellaneous memoranda or notices that do not relate to the functional responsibility of the special district, such as notices of community affairs, employee meetings, holidays, etc.

18.50 Preliminary drafts of letters, memoranda, reports, worksheets and informal notes that do not represent significant basic steps in the preparation of record documents.

18.60 Routing slips, sheets, post-it notes or memos used to direct the distribution of documents.

18.70 Outdated or superseded stocks of publications kept for supply and hand-out purposes.

18.80 Telephone messages that convey non-policy informational messages.

18.90 Library or museum material acquired for reference or exhibition purposes.

18.100 Identical duplicate copies of records.

18.110 Notes, tapes or recordings that have been transcribed.

18.120 Temporary or transitory material with little or no bearing on decision-making.