

## SCHEDULE NO. 40

### GENERAL ADMINISTRATIVE RECORDS

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

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

#### 40.010 ADMINISTRATIVE PROCEEDINGS RECORDS

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

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

#### 40.20 AFFIDAVITS OF PUBLICATION

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

##### A. Affidavits of Publication - Ordinances

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

Retention: 6 years or until ordinance is repealed or reenacted, whichever is later

##### B. Other Affidavits of Publication

Affidavits of publication other than those relating to ordinances.

Retention: 6 years

#### 40.030 AGREEMENTS AND CONTRACTS

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

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

**40.040 AWARDS AND HONORS**

Awards and honors received from various public or private sources.

Retention: Until no longer useful

**40.050 CALENDARS**

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

Retention: Until no longer needed for reference

**40.60 CHARTERS AND SUPPORTING DOCUMENTATION****A. Charter Proceedings**

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

Retention: Permanent

**B. Charters - Published**

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

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

**40.70 CODE BOOK RECORDS****A. Codes Adopted by Reference**

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

Retention: Permanent

**B. Codifications/Supplements**

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

Retention: Permanent

**40.80 COMMITTEES - INTERNAL**

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

**A. Ongoing Committees**

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

**B. Special Committees**

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

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

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

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

**40.100 CORRESPONDENCE AND GENERAL DOCUMENTATION**

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

**A. Enduring Long-Term Value**

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

Retention: Permanent

**B. Routine Value**

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

Retention: 2 years

**C. Transitory Value**

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

Retention: Until material has been read

**40.105 DONOR RECORDS**

Records relating to cash and material donations for municipal use. Note: Donations of materials or records to museums, local history collections, or similar repositories are covered in 70.020 Museum and Other Repository Records. Records relating to donations of vehicles or equipment are covered in 35.010 Equipment Records in General.

Retention: Until donated item is no longer under municipal control or life of donated item + 1 year and/or after audit, unless another retention period is specified elsewhere in this retention schedule.

**40.110 EVENT RECORDS**

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

Retention: 2 years after event concludes

**40.120 EXTERNAL GROUPS AND AGENCIES**

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

Retention: Until no longer needed

**40.130 FORMS - BLANK**

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

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

**40.140 HOUSEKEEPING FILES**

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

Retention: Until no longer needed for reference

**40.150 INTELLECTUAL PROPERTY RECORDS**

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

Retention: Permanent

**40.160 LEGISLATION AND REGULATORY ACTIONS - EXTERNAL**

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

Retention: Until no longer needed for reference

**40.170 MAILING AND DISTRIBUTION RECORDS****A. Envelopes**

Envelopes that contained communications.

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

**B. Mailing Record**

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

Retention: 2 years

**C. Meeting Notification Lists**

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

Retention: Until updated

**D. Undeliverable Mailings**

Mailings (excluding mailed ballots) returned as undeliverable.

Retention: 1 year after matter referenced in mailing is concluded

**40.180 MAPS, DRAWINGS AND SUPPORTING DOCUMENTATION**

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

Retention: Permanent

**40.190 MAPS - INFORMATIONAL**

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

Retention: Until superseded or no longer needed for reference

**40.200 OPEN RECORDS REQUESTS AND SUPPORTING DOCUMENTATION**

Formal requests for records submitted in accordance with state law and supporting documentation relating to the response to or denial of the request. Note: Supporting documentation includes material such as follow-up correspondence relating to the open records request and does not include the records that are the subject of the open records request.

Retention: 2 years after request is answered

**40.210 ORGANIZATION FILES**

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

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

**40.215 PASSPORT RECORDS**

Retention: 2 years from date of processing <Added 8/24>

**40.220 POLICIES AND PROCEDURES DOCUMENTATION**

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

**A. Clerical or Other Routine Manuals**

Retention: 2 years after superseded or obsolete

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

Documentation, including written materials such as personnel policy manuals and standard operating procedures, that have long-term value in determining current and past policies or

procedures in liability cases, personnel disputes and other circumstances; includes supporting documentation relating to the development, formulation, establishment, rationale, approval and implementation of such policies and procedures.

Retention: Permanent

#### 40.230 PROGRAM RECORDS

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

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

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

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

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

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

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

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

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

Retention: 3 years

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

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

Retention: 3 years

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

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

Retention: Permanent

#### 40.240 PROJECT FILES

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

Records of capital projects, professional services relating to capital improvements and projects relating to the design, engineering, construction, major repair, renovation or demolition of structures, buildings, facilities, bridges, streets and roadways, utility system features, public

works, parks, stormwater and storm drainage facilities, dams and reservoirs, other water projects, fiber optics and communication structures and other infrastructure. Project files may include documentation such as final project reports, specifications and contract documents, certificates of insurance, project-related permits and licenses issued by other entities, notices to proceed and of final settlement, project pay estimates, change orders and correspondence and general documentation. [General Reference: CRS 24-16-105; project cost records are to be retained for 6 years after project completion.]

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

## **B. Project Bonds**

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

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

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

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

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

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

## **C. Project Control Files**

Contain routine memoranda, preliminary reports and other general documentation and records documenting assignments and the progress of projects. Note: Does not include *final* reports, which are to be retained as part of the project file (see 40.240.A, *Activities and Events - Short-Term Agreements, Contracts and Supporting Documentation*).

Retention: 1 year after project is closed

## **40.250 PUBLIC RELATIONS RECORDS**

### **A. Lobbying Records**

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

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

### **B. News Releases**

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

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

Retention: Permanent

**2. Releases - Routine**

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

Retention: 3 years

**C. Speeches and Public Comments**

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

Retention: Permanent

**40.260 PUBLICATIONS**

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

Retention: Permanent

**40.270 RECORDS FINDING AIDS**

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

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

**40.280 REFERENCE FILES**

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

Retention: Until no longer needed for reference

**40.290 REPORTS**

Written reports regarding operations or activities.

**A. Annual Reports**

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

Retention: Permanent

**B. Daily Reports**

Reports documenting daily activities.

Retention: 2 years

**C. Monthly Reports**

Reports on activities and accomplishments for the previous month.

Retention: 2 years



**D. Quarterly Reports**

Reports on activities and accomplishments for the previous three months.

Retention: 3 years

**E. Weekly Reports**

Reports on activities and accomplishments for the previous week.

Retention: 2 years

**40.300 RETENTION SCHEDULES AND COMPLIANCE CERTIFICATES**

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

Retention: Permanent

**40.310 RULES, REGULATIONS AND STANDARDS**

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

Retention: Permanent

**40.320 SPECIAL DISTRICT RECORDS**

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

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

**40.330 STUDIES, PLANS AND REPORTS**

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

Retention: Permanent

**40.340 SURVEYS CONDUCTED BY MUNICIPALITIES**

Broad surveys, conducted by the municipality or a contractor on behalf of the municipality, that have enduring value and community-wide scope and significance, such as (but not limited to) community opinion surveys regarding municipal services or long-range planning initiatives.

**A. Compilations**

Retention: Permanent

**B. Survey Responses**

Retention: 2 years after compilation is complete

**C. Routine**

Retention: Until no longer needed.

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

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

Retention: Until no longer needed

**Cross references**

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