

**POLICY AND PROCEDURES MEMORANDUM
CITY OF LONE TREE**

SUBJECT: Records Management Policy

PPM#: 14-01

ISSUE DATE

June 23, 2014

EFFECTIVE DATE

July 1, 2014

INTRODUCTION

The City of Lone Tree recognizes that records are an important public asset, and like any asset requires careful management to ensure an effective operation and to promote accountability in government.

INTENT

The intent of this policy is to provide employees with a tool for effective management of documents necessary for operational, fiscal, legal and decision-making purposes.

The City will endeavor to ensure that all records are effectively managed, such that they can be:

- Captured, stored and protected against damage, loss or unauthorized access.
- Efficiently retrieved in response to requests (including Open Records requests).
- Preserved in such a way as to ensure their ongoing retrievability and readability.
- Maintained or disposed of according to the City's adopted Retention Schedule (CMRRS).
- Eliminated where there is a duplication of records.

SCOPE

It is the responsibility of every employee to ensure that information is properly maintained and preserved for future use. All records are the property of the City and shall not be destroyed, removed or disposed of, except as provided by law or policy. The policy applies to all information created, received and maintained by the City and its staff to meet legal obligations or in the course of business, regardless of format.

OJECTIVE

The Records Management Policy is a document which serves as an overall guide for managing records within our organization. The policy is intended to be a reference tool for handling records at all stages in the "life" of a record; creation, maintenance, use, storage, and disposition by destruction. The Records Management Policy also describes what the overall guidelines are, with details of relevant standards. It is a formal mandate that:

- Gives authority to recordkeeping program
- Informs staff of the importance of records

- Provides a basis for accountability
- Establishes legal and regulatory obligations to minimize risks
- Consistent standards for the effective management of all the City's records.
- To set forth a policy concerning the research and retrieval of public records.

The basic principles of our records management program are: consistency and integrity, accountability, compliance, transparency, accessibility and availability, protection, retention, disposition.

POLICY

I. Responsibilities

- a. It is every employee's responsibility to manage records in accordance with the procedures outlined and to understand their responsibilities in regard to records management and records retention.
- b. The City Clerk is the City's official custodian of records.
- c. Department Directors or their designee will serve as the records coordinator and is responsible for implementation of the Records Management Policy and must be:
 - i. Be familiar with the City's Records Management Policy;
 - ii. Develop the department's procedures and practices, consistent with this policy;
 - iii. Educate staff within the department in understanding sound record management practices;
 - iv. Restrict access to confidential records and information; and
 - v. Coordinate the destruction of records as provided in the City's Retention Schedule; or if the record is a permanent record forward to the City Clerk for filing.

II. Definitions

- a. CORA means the Colorado Open Records Act (Title 24 Article 72).
- b. Digital Conversion mean converting records from a paper format to a digital format.
- c. Enduring Long-Term Value means 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 municipality or community: and other similar records and documentation.
- d. File Index System means the system by which records are classified in the central records file room.
- e. Maintaining means ensuring the accurate and safe storage and disposition of documents.
- f. Official Custodian of Records means the City Clerk or designee.
- g. Off-site Records means records stored off-site at a specified vendor(s) location.
- h. On-site Records means records stored on-site at either the central records file room and/or individual department or office filing locations.
- i. Permanent Records means records that are required to be kept permanently according to the Colorado Municipal Records Retention Schedule (CMRRS).
- j. Records Management Digital Conversion Policy means the policy as defined in PPM#10-01.

- k. Retention schedule means the Colorado Municipal Records Retention Schedule (CMRRS) adopted by Resolution 04-21 with any local exceptions (currently there are none).
- l. Routine Value means a document or correspondence that is routine and contains no significant administrative, legal, fiscal, historical, information or statistical value. Includes routine letters or memos 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 email.

III. CORA Request Procedures

- a. All individuals submitting a CORA requests must do so using the Records Request Form. The form must be signed by the requestor. All requests must be specific as to the records sought and the relevant dates covered by the request. Submittal can be by email, fax, hand delivered or mailed.
- b. All CORA requests shall be made in writing to the City Clerk, or the City Clerk's designee. If any other employee receives a request for records, the employee shall either forward the request or direct the requesting party to the City Clerk's office.
- c. City Clerk or the City Clerk's designee shall coordinate the response to the requestor and/or retrieval of the records.
- d. Requests regarding criminal justice records or discovery are not subject to this policy and procedure nor are they governed by the Act. Therefore, such request should be direct to the Police Department Records Division or the Municipal Court.
- e. Fees for copies, and/or retrieval costs, and/or research fees are set forth in the current Administrative Fee Schedule. Research and retrieval fee will be imposed after the first hour of time has been expended.
- f. CORA requests which require copies, and/or retrieval costs, and/or research fees, require payment in advance prior to retrieval of the records.
- g. Records will be available for inspection by appointment during regular business hours observed by the City. Requestors who have not come in to view the requested information within 10 working days of being notified that the information is available for review will be required to submit a new CORA request.
- h. No original Public Records shall leave the possession or control of the City.
- i. Any denial of a CORA request shall be in writing.
- j. The City is not obligated to provide records in electronic form. However, the City will endeavor to provide information in the form which is most convenient and practical. If an electronic copy of the document is requested, the document should only be released in an unalterable form (a pdf file, for example).
- k. Open Records Requests re: Architectural Drawings as adopted by PPM12-02, the City of Lone Tree will allow inspection of plans with architect's stamps but will not reproduce those documents. Digital Conversion
 - a. To ensure cost effective storage and retrieval of records the City has adopted and approved a Digital Records Conversion Policy & Procedure (PPM#10-01). This PPM must be followed when disposing of records after their digital conversion.

V. Email Retention

- a. Email records are to be maintained according to the CMRRS. Documents are to be retained according to their content and not their format.
- b. Personal messages, spam and unsolicited messages are not considered records and can be deleted.
- c. Listserve messages, documents circulated for read-only purposes, general announcements also are not considered records and can be deleted when no longer needed.
- d. Employees are responsible for maintaining any documents (including emails) in their possession according to the CMRRS.

VI. Litigation Records Hold In order to comply with federal and state law, upon reasonable notification of existing or anticipated litigation, the City shall initiate a records' hold in order to preserve those records that may be relevant to the litigation. The initiation of a records' hold shall suspend operation of the City's standard records retention scheduled with respect to those affected documents and require preservation of those documents that are relevant to the litigation whether or not they constitute records as that term is used in the City's retention policy. The records' hold shall remain in effect until notification is given otherwise.

- Records Storage
- a. On-site
 - i. On-site records (routine value) will be stored in either the central records file room (located near the City Clerk's Office) and filed according to the File Index System or in the individual department or office.
 - ii. On-site records (enduring long term value) will be stored in either the central records file room (located near the City Clerk's Office) and filed according to the File Index System or in the individual department or office.
 - iii. On-site records (permanent records) will be stored in the central records file room (located near the City Clerk's Office) and filed according to the File Index System.
 - iv. All Contracts and Agreements once executed will be forward to the City Clerk and stored in the central records file room.
 - v. On-site records will be purged according to the CMRRS at least annually.
 - b. Off-site
 - i. Off-site records will be stored at approved locations and storage and retention will be coordinated through the City Clerk's office.
 - ii. The City Clerk's office will maintain a master list of all off-site records.

VIII. Records Retrieval

- a. On-Site
 - i. Employees may retrieve records from on-site records site and are responsible for placing an out file notice.
 - ii. Employees are responsible for returning records are removed.
 - iii. If an employee removes any records from the central records file room for longer than one business day they will notify the City Clerk Office.
- b. Off-Site
 - i. Off-site records retrieval requests will be coordinated through the City Clerk's office.

IX. Records Disposition

The City has adopted the Colorado Municipal Records Retention Schedule (CMRRS) as our retention schedule. The latest version is available online at <http://www.colorado.gov/dpa/doit/archives/rm/MunicipalRMM/>. Records are to be maintained according to the CMRRS

- a. Employees are responsible for maintaining any documents in their possession according to the CMRRS.

POLICY REVIEW

At least once every three years, the City Manager or his/her designee will review the policy and will make recommendations for revisions to the policy as deemed appropriate.



Seth N. Hoffman
City Manager