

**DIVISION OF STATE ARCHIVES AND PUBLIC RECORDS
RECORDS DISPOSITION SCHEDULE,
SIGNATURE PAGE**

<input checked="" type="checkbox"/> Schedule revision: Revises Archives #04-25	Archives # 06-108
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Department TRANSPORTATION	Division:	Section Office of Equal Opportunity (EEO)	<input checked="" type="checkbox"/> Permanent <input checked="" type="checkbox"/> Non-Permanent
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Records custodians

No record shall be destroyed under this schedule authority so long as it pertains to any pending legal case, claim action or audit.

It shall be the responsibility of the agency to inspect their own microfilm and certify to the continuity of the filmed record and legibility of the information. If any image is not completely readable, or any portion of the series has not been filmed, appropriate corrections or documentation must be made to insure standards and to comply with CRS, as amended, Title 24-80-107 before transfer/security deposit to the State Archivist.

Records officer

The recommended retention periods on this schedule are the result of evaluation of the factors listed in the State Records Management Policies and Procedures Manual and CRS 24-80-101 et. Seq. As Records Liaison Officer, I am authorized by the head of this agency to act in all matters regarding Records Management and I request approval of this records disposition schedule.

Record's Liaison Officer's signature <i>Karen Goltenko</i>	Date <i>5/2/06</i>
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Signatories

I certify I have reviewed and concur with the records retention periods established on all 6 pages of this document:

State Archivist's signature <i>Terry Ketchen</i>	Date <i>5/9/2006</i>	Transportation Attorney signature <i>Harry Monow</i>	Date <i>3-22-06</i>
State Auditor's signature <i>Sally Symonoh</i>	Date <i>5/31/06</i>	Federal Highway Administration (FHWA) signature <i>Katherine McKelley</i>	Date <i>5-1-06</i>
Attorney General's signature <i>John W. Suthers by mm</i>	Date <i>5/11/06</i>	Anti-trust Unit signature	Date
	Date		Date

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Item#	Description	Retention Period	Special Instructions
1.	INTERNAL EEO RECORDS A. 'OFF THE RECORD' COMPLAINT FILE (complaints, not formally filled) B. TITLE VI PROGRAM DOCUMENTATION C. TITLE VI COMPLAINT FILES D. TITLE VII PROGRAM FILES E. TITLE VII COMPLAINT FILES F. ADA PROGRAM DOCUMENTATION G. ADA CASE FILES H. STATISTICAL REPORTS 1) At Headquarters 2) In Regions	1 year + current Until superseded 3 years + current from resolution date until superseded 3 years + current from resolution date until superseded 3 years + current from resolution date 10 years + current 1 year + current	

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Item#	Description	Retention Period	Special Instructions
2.	<p>EXTERNAL EEO/LABOR COMPLAINEE RECORDS</p> <p>A. PROJECT FILES (labor compliance & payrolls)</p> <p>B. Disadvantaged Business Enterprise (DBE) DOCUMENTATION - CONTRACTORS (secondary copies – primary copy comes to Central Files via Program & Project Analysis/Business Programs. Retained in Central Files for 6 years after project closure.)</p> <ol style="list-style-type: none"> 1) CDOT #17 Contractor DBE Payment Cert 2) CDOT #713 Contractor DBE Subcontractor, Supply & Service Contract Statement 3) CDOT #714 Underutilized DBE Bid Conditions Assurance 4) CDOT #715 Certificate of Proposed DBE Participation 5) CDOT #718 DBE Good Faith Effort Documentation 6) CDOT #719 DBE Participation Summary 7) CDOT #863 DBE Contract Goal Recommendation 8) CDOT #1308 Financial Institution Authorization 9) CDOT #1309 Eligibility Affidavit 10) CDOT #1310 Change Affidavit 11) CDOT #1311 Work Code Change Requests <p>C. DBE DOCUMENTATION – CONSULTANTS</p> <ol style="list-style-type: none"> 1) CDOT 1269 DBE Participation Summary 2) CDOT 1330 DBE Bid Conditions Assurance for Non-Project Specific (NPS) Consultant Contracts 3) CDOT 1331 Certificate of Proposed DBE Participation for Project Specific (PS) Consultant Contracts <p>D. PROGRAM MANAGEMENT OJT (secondary copy, primary copy retained in Central Files permanently)</p> <ol style="list-style-type: none"> 1) CDOT #200 On the Job Training Questionnaire 2) CDOT # 832 Trainee Status and Evaluation Report 3) CDOT #835 On the Job Training Request 	<p>3 years after receipt of completed CDOT 950</p> <p>3 years after receipt of completed CDOT 950</p> <p>3 years + current</p> <p>Until trainee is no longer enrolled</p>	<p>File contains "Confidential Documents" that must be treated as such according to PD 51.3. Authority: CRS 24-72-204(3)(IV) 204</p> <p>Access: CDOT & FHWA employees on a "need to know basis", signatories, auditors properly constituted under state & federal law or regulation.</p>

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Item#	Description	Retention Period	Special Instructions
2	D. Program Management (Cont.) 4) CDOT # 838 On the Job Trainee/Apprentice Record 5) CDOT # 1137 On the Job Pilot Program/Training Plan Application E. Supportive Services Contract Files for OJT, DBE & ESB Support	Until trainee is no longer enrolled 3 years + current provided Federal audits have been completed	
3.	OFFICE OF CERTIFICATION – DBE CERTIFICATION FILES A. Applications B. Income Tax Returns C. Bank Signature Cards D. Financial Statements E. Lease Agreements F. Purchase Agreements G. Resumes H. Bonding Authorization I. Real Estate Information J. Licenses K. Corporate documents L. Minutes to Board Meetings M. Stock Certificates N. Articles of Insurance O. Proof of Capital Investment P. Stock Transfer Ledger Q. List of Employees R. Loan Information S. DBE Certification Affidavit	3 years + current after certification has lapsed	File contains "Confidential Documents" that must be treated as such according to PD 51.3. Authority: CRS 24-72-204(3)(IV) (a)  Access: CDOT & FHWA employees on a "need to know basis", signatories, auditors properly constituted under stat & federal law or regulation
4.	Emerging Small Business (ESB) Records A. ESB Program Files (secondary copies, primary copy comes to Central Files via Business Programs. Retained in Central Files for 6 years after project closure. 1) CDOT#977 ESB Contractor Reimbursement Agreement (1 st time payment) 2) CDOT #978 ESB Contractor Reimbursement Agreement (Hourly)	3 years after receipt of a completed CDOT 950	

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Item#	Description	Retention Period	Special Instructions
4	<p>A. ESB Program Files (Cont.)</p> <p>3) CDOT #979 Joint Payee Agreement (ESB Bonding Assistance)</p> <p>4) CDOT #980 Contractor Performance Evaluation of an ESB</p> <p>5) CDOT #981 Contractor Certification of Actual Payments to a First Time ESB</p> <p>6) CDOT #1259 ESB Consultant Reimbursement Agreement (1st Time)</p> <p>7) CDOT #1260 Consultant Certification of Actual Payment to a 1st Time ESB</p> <p>8) CDOT #1261 Consultant Performance Evaluation of an ESB</p> <p>9) CDOT #1262 ESB Consultant Reimbursement Agreement</p> <p>B. ESB Applicant Firms</p> <p>1) CDOT #970 Emerging Small Business Eligibility Application</p> <p>2) CDOT # 971 Notice of Emerging Small Business Eligibility Status</p> <p>3) CDOT #1211 Emerging Small Business Renewal Application (secondary copy – primary copy retained in project files)</p> <p>4) CDOT #1245 ESB Business Plan – Part 1(secondary copy –primary copy retained project file)</p> <p>5) CDOT #1246 ESB Business Plan – Part 2 (secondary copy – primary copy retained in project file)</p>	<p>3 years after receipt of a completed CDOT 950</p> <p>3 years + current after business becomes inactive</p>	
5.	Mentor – Protégé Program Files	3 years + current after business becomes inactive	
6.	<p>DBE/ESB Administrative Records</p> <p>A. DBE/ESB Directories</p> <p>B. Tuition Reimbursements</p> <p>C. Reports</p> <p>1. Annual Reports</p>	<p>Permanent</p> <p>3 years + current provided Federal audits have been completed</p> <p>Permanent</p>	<p>Retain directory 1 year. Scan and destroy hardcopies after scanning. Transfer electronic copies to disk.</p> <p>Scan or transfer electronic copies to disk. Destroy hard copies after scanning.</p>

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Item#	Description	Retention Period	Special Instructions
6	C. Reports (Cont.) 2. Monthly/Quarterly Reports	2 years + current	
7	Partnering Event Records	1 year + current	
8.	Rulemaking Files A. Secondary copies used for reference	Permanent – Transfer to Central Files Until administrative need ends	