



**DEPARTMENT OF PERSONNEL &
ADMINISTRATION
STATE ARCHIVES AND PUBLIC RECORDS
RECORDS DISPOSITION SCHEDULE**

ARCHIVES
NO. 07-50

DEPARTMENT Colorado Dept. of Public Health and Environment		DIVISION Water Quality Control Division	SECTION Personnel records	PERMANENT <input checked="" type="checkbox"/>	NON-PERMANENT <input type="checkbox"/>
ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS	
1.	Adverse Action Files Case files and related records created in reviewing an adverse action (corrective, disciplinary or non-disciplinary removal, suspension, leave without pay, reduction in force) against the employee. The file includes a copy of the proposed adverse action with supporting papers; statements of witnesses; employee's reply; hearing notices, reports, and decisions; reversal of action; appeal of records, excluding letters of reprimand.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.			
2.	Agency Personnel Files for Permanent Employees Complete work history of individual while employed by the State. When an employee transfers to another state agency, the official personnel file must be sent to the new agency. File should include current information on performance evaluations, performance plans, position description, career mobility agreement, insurance benefits notification, job swap agreement, and overtime agreement where applicable. Also contains application for employment, employees; social security card (copy), notice of personnel action, human resource profile/events, termination form, employment eligibility verification form, Exit interview form, and new employee orientation self-guide.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.			
3.	Agency Personnel Files for Temporary Employees Copies of correspondence and forms maintained in the personnel file of a temporary employee. This does not include personnel records created for specific federal programs.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.			
4.	Answers and Score Sheets Tests taken by applicants who have met the minimum qualifications for a state position.	Record copy: Closed file is retained by Human Resources. Duplicate copies should not be available outside of Human Resources.		<i>No record shall be destroyed that pertains to any pending legal cause, claim, action, or audit.</i>	

I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I am authorized to act for the head of this agency in matters pertaining to disposal of records. I also certify that I will comply with all conditions listed in the Records Management Policies and Procedures Manual.

State Archivist's Signature <i>Terry Kitzelson</i>	Date 2/5/2007	Records Liaison Officer's Signature <i>Betsy Hannah</i>	Date 12-4-2006
Attorney General's Signature <i>John W. Suthers by man</i>	Date 2/4/07	State Auditor's Signature <i>William E. Long</i>	Date 3/2/07



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DEPARTMENT Colorado Dept. of Public Health and Environment	DIVISION Water Quality Control Division	SECTION Personnel records	PERMANENT <input checked="" type="checkbox"/>
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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
5.	Eligibility List This is a listing of all applicants who after careful review of their qualifications are then rated on their eligibility for a state position.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
6.	Conflict of Interest Files Letters from employees with part-time jobs, which state that there is not a conflict of interest in the two vocations and work performance will not suffer as a result of a second job.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.	
7.	Course Announcement Files (Training or Educational) Reference files of pamphlets, notices, catalogs, and other records that provide information on courses or programs offered by government agencies or non-governmental organizations.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.	
8.	Employee Assistance Files (C-SEAP) Files which document employees who have sought assistance for personal problems which could interfere with job performance.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.	
9.	Employee Awards Files Case files which document all employee awards, including recommendations, approved nominations, memoranda, correspondence, reports, and related handbooks pertaining to agency-sponsored cash and non-cash awards. (Such as incentive awards within grade, merit increases, suggestions, and outstanding performance) These files may also document awards from other government agencies or private organizations	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.	

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State Archivist's Signature <i>Terry Ketselson</i>	Date <i>2/5/2007</i>	Records Liaison Officer's Signature <i>Betsy Hauke</i>	Date <i>12-4-2006</i>
Attorney General's Signature <i>John W. Suthers by mnm</i>	Date <i>4/4/07</i>	State Auditor's Signature <i>[Signature]</i>	Date <i>3/2/07</i>



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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS	
10.	Employee Training Records Correspondence, memoranda, reports and other records relating to the availability and employee participation in training programs sponsored by governmental agencies or non-governmental institutions. This information may also be entered into the Department of Personnel automated system.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
11.	Employment Applications (Not Hired) Applications of those persons qualified to be listed on a register but who were not selected as the candidate for employment. If Department of Personnel has officially delegated a particular state agency as the record copy office, then they should retain these applications for three years.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
12.	Equal Employment Opportunity/Affirmative Action Plans Affirmative Action Plans (AAP) include both the agency copies of consolidated AAP's developed by the DOP, and the agency plans which are used to develop a larger affirmative action strategy.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
13.	Equal Employment Opportunity Compliance Review Files Review files containing background papers, etc., relating to contractor employment practices.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
14.	Equal Employment Opportunity Discrimination Complaint Case Files Official complaint files containing complaints, related correspondence, reports, exhibits, withdrawal notices, copies of decisions, and other records.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
15.	Equal Employment Opportunity Statistics Files Employment statistics relating to race and sex.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		

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State Archivist's Signature <i>Terry Kitchel</i>	Date 2/5/2007	Records Liaison Officer's Signature <i>Betty Hauak</i>	Date 12.4.2006
Attorney General's Signature <i>John W. Suthers by mm</i>	Date 4/4/07	State Auditor's Signature <i>[Signature]</i>	Date 3/2/07



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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS	
16.	Employees Performance Appraisals Appraisals of performance, along with job elements and standards (job expectations) upon which they are based, and supporting documentation.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
17.	Financial Disclosure Reports (SES) Reports and related documents submitted by individuals as required by their agency.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
18.	Grievance/Appeal Files Records originating on the review of grievance and appeals raised by agency employees, except EEO complaints. These case files include statements of witnesses, reports of interviews and hearings, examiner's findings and recommendations, exhibits, and records relating to a reconsideration request.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
19.	Incentive Awards Program Reports Reports pertaining to the operation of the incentive awards program.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		
20.	Individual Health Record Files Record which contains such information as date of employee's visit, diagnosis and treatment. Included are short term disability and FMLA documentation	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.		

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State Archivist's Signature <i>Terry Kutzler</i>	Date 2/5/2007	Records Liaison Officer's Signature <i>Betsy Hawak</i>	Date 12-4-2006
Attorney General's Signature <i>John W. Swihens by man</i>	Date 4/4/07	State Auditor's Signature <i>[Signature]</i>	Date 3/2/07



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ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS			
21.	Interview Records Correspondence, reports, notes, and other records relating to interviews with prospective employees.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.					
22.	Job Announcements (Vacancies) Announcements concerning job openings in agencies. Information includes title of position, salary or grade range, description of job duties, closing date, and to whom applications should be directed.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.					
23.	Job Classifications A listing of all job positions classified by the State Personnel Department. Information includes position qualifications, pay grades, and duties for positions in state service	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.					
24.	Job Swap or Career Mobility Files Case files of a state employee applying to change positions with another employee in the state work force.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.					
25.	Labor-Management Relations Files Labor-management relations general and case files. Includes correspondence, memoranda, reports, and other records relating to the relationship between management and employee associations or other groups.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.					
26.	Leave Records Records of the amount of leave earned and taken employees. Information includes employee's name, type of leave (annual, sick, other), service date, social security number, amount of leave earned and charged, sick leave cap amount and leave balances for the period covered.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.					

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State Archivist's Signature <i>Terry Ketchum</i>	Date 2/5/2007	Records Liaison Officer's Signature <i>Betsy Hauke</i>	Date 12-4-2006
Attorney General's Signature <i>John W. Suthers by mm</i>	Date 4/4/07	State Auditor's Signature <i>Gregory J. ...</i>	Date 5/2/07



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ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS			
27.	Leave Slips Forms completed by agency employees to request time off from work. Information includes employee's name, social security number, type of leave number of days or hours requested, date requested, and signatures of employee, supervisor and director.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy					
28.	Length of Service and Sick Leave Files Records include correspondence, memoranda, reports, computations of service and sick leave. This information is entered into the Department of Personnel automated personnel system (EMPL)	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy					
29.	Letters of Employee Commendation Letters of employee commendations and appreciation, recognizing length of service, retirement, or performance.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy					
30.	Log and Summary of Occupational Injuries and Illnesses Record of work-related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee's name, occupation, department, description of injury or illness, fatalities, non-fatal injuries, injuries with lost workdays, injuries without lost workdays, and other related information.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy					
31.	Merit Employee Performance-Related Records (Human Services) Records including summary performance appraisal records, containing appraisals and the job elements and standards upon which they are based and any supporting documentation.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy					
32.	Merit Promotion Case Files Records relating to the promotion of an individual that document qualification standards or the evaluation of candidates, excluding any records that duplicate information in the promotion plan or in other personnel records.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy					

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State Archivist's Signature <i>Terry Ketterson</i>	Date 2/5/2007	Records Liaison Officer's Signature <i>Betsy Hannah</i>	Date 12-4-2006
Attorney General's Signature <i>John W. Suthers by mm m</i>	Date 4/1/07	State Auditor's Signature <i>Charles S. Ray</i>	Date 3/6/07



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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
33.	Notice of Proposed Action for Unacceptable Employee Performance As part of a merit employee appraisal of unacceptable performance, a notice of proposed demotion or removal that is issued but not effected.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
34.	Personal Injury Case Files Forms, reports, correspondence and related medical and investigative records regarding on-the-job injuries, whether or not a claim for compensation was made. These case files exclude copies of official reports filed in the agency personnel file and submitted to the Division of Worker's Compensation.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
35.	Personnel Operations Statistical Reports These are statistical reports used to set the standards for the operation of a personnel office or subordinate personnel office.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
36.	Personnel Rules Files which outlines policies and procedures to be followed in the Department of Personnel and throughout state government.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
37.	Position Change Requests and Authorizations Documents used to create new positions, abolish old ones and change existing state employee positions.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
38.	Position Classification Appeal Files Case files relating to classification appeals.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	

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State Archivist's Signature <i>Perry Ketelsen</i>	Date 2/5/2007	Records Liaison Officer's Signature <i>Betsy Hamak</i>	Date 12.4.2006
Attorney General's Signature <i>John W. Suthers by mmm u/h/07</i>	Date 4/4/07	State Auditor's Signature <i>[Signature]</i>	Date 3/2/07



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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS	
39.	Position Classification Inspection and Audit Files Correspondence, memoranda, reports, and other records relating to inspections, desk audits and evaluations of position classifications.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy		
40.	Position Classification Standards Files Standards and guidelines issued or reviewed by the Department of Personnel and used to classify and evaluate positions within the agency. These files also include memoranda, correspondence, and other records relating to the development of standards for classification of positions unique to the agency and Department of Personnel.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy		
41.	Position Classification Survey Studies Survey reports on various positions prepared by classification specialists, including periodic reports.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy		
42.	Position Descriptions (PDQ) Files describing established positions including information on title, series, grade, duties, and responsibilities. Also contains Position Description Questionnaire.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy		
43.	Recruitment Files Correspondence, letters, telegrams, offering appointments to potential employees. These files contain offers that are declined. Those offers accepted will be maintained in the employee personnel file.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy		
44.	Requests for Approval of Overtime Requests for approval, which is required by the Department of Personnel and Fair Labor Standards, for overtime compensation.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy		

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State Archivist's Signature <i>Terry Kitchin</i>	Date 2/5/2007	Records Liaison Officer's Signature <i>Betsy Hauak</i>	Date 12-4-2006
Attorney General's Signature <i>John W. Suthers</i>	Date 4/4/07	State Auditor's Signature <i>[Signature]</i>	Date 3/2/07



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ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
45.	Salary Survey Survey reports on various positions prepared by classification specialists. It compares salary ranges, benefits, education and experience required.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
46.	Standards of Conduct Files Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
47.	Time and Attendance Records (Part-Time Employees) Records concerning time worked by part-time employees during a pay period. Information includes employee's name, agency, social security number, pay period, total time worked, employee' signature, supervisor's signature, and director's signature.	Record copy: Closed file is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
48.	Training Aids One copy of each syllabus, manual, textbook, and any other training materials created by the agency.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy.	
49.	Training Conference and Courses Files General file of agency-sponsored training. Includes correspondence, memoranda, agreements, authorizations, background and work papers, reports requirements, reviews, plans, and objectives relating to operation of training courses and conferences.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
50.	Training Contracts Contracts between state agencies and the Department of Personnel to administer agreed upon training programs.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	
51.	Verification of Employment Eligibility (I-9) Employment documentation required to comply with the Immigration Reform and Control Act, as amended.	Record copy: File is retained by Human Resources. Duplicate copies: Retain until no longer needed then destroy	

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Attorney General's Signature <i>John W. Suthers</i>	Date 4/4/07	State Auditor's Signature <i>[Signature]</i>	Date 3/2/07