



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

ARCHIVES NO.  
 14-06

DEPARTMENT	DIVISION	SECTION	PERMANENT	NON-PERMANENT
Public Health and Environment	Operations	Office of Legal & Regulatory Compliance - Internal Audit	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS	
1	<b>Sub-recipient Audit Resolution Files</b> <i>This records series may include: Audited Financial Reports, Audit Resolution Letters</i>	(7) years after audit year end + current		
2	<b>Local Indirect Costs Rate Files</b> <i>This records series may include: Indirect cost proposals (ICP), ICP agreements, cover letters,</i>	(7) years after indirect cost rate year end + current		
3	<b>Department Performance Audits</b> <i>This records series may include: Audit Reports issued by the Office of the State Auditor</i>	Permanent		
4	<b>Performance Audit Working Papers</b> <i>This records series may include: Auditor Request, communications, draft findings, documentation provided auditors, etc.</i>	Retain until administrative need ends and then destroy	* Confidential Record Authority: CRS 24-72-204(3)(A)(iv) Privileged Information Access: "Auditors & Persons in Interest."	
5	<b>Internal Audit Reports</b>	(10) years from the date of issuance of the report		
6	<b>Internal Investigations &amp; Supporting Documentation</b>	(6) years	Note: No record shall be destroyed that pertains to any pending legal case, claim, action, or audit.	

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	Date	Records Liaison Officer's Signature	Date
	10/24/2013		8-29-13
Attorney General's Signature	Date	State Auditor's Signature	Date
	2/24/2014		12-16-13



**Colorado Department of Public Health and Environment  
Operations Division: Internal Audit  
Records Disposition Rationale Form  
2013**

Archives No.:  
14-06

Record	Copy <sup>+</sup>	Statute/Rule/ Guidance	Retention Period	Rationale*	Special Instructions
1. Sub-recipient Audit Resolution Files	R	OMB Circular A-102, codified at 49 CFR 92 OMB Circular A-133 Codified at 29 CFR 99 <i>Subpart D(d)- Federal Agencies and Pass-Through Entities Responsibilities</i>	(7) years after audit year end + current.	Proposal related documents must be retained for audit in accordance with the record retention requirements in the Common Rule. Due to the varying ending dates of the grants, internal audit has chosen a relatively conservative record retention period for these files.	
2. Local Indirect Costs Rate Files	R	OMB Circular A-102, codified at 49 CFR 92	(7) years after indirect cost rate year end + current.	Proposal related documents must be retained for audit in accordance with the record retention requirements in the Common Rule. Due to the varying ending dates of the grants, internal audit has chosen a relatively conservative record retention period for these files.	

<sup>+</sup> This column should indicate whether the retention pertains to the Record original (R) or Duplicate copy (D).

\* This column should reflect the interpretation of the statute, regulation, guidance, or other considerations used to determine the retention period and special instructions.

*No record shall be destroyed that pertains to any pending legal case, claim, action or audit.*

**Colorado Department of Public Health and Environment  
Operations Division: Internal Audit  
Records Disposition Rationale Form  
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<b>Record</b>	<b>Copy<sup>+</sup></b>	<b>Statute/Rule/ Guidance</b>	<b>Retention Period</b>	<b>Rationale*</b>	<b>Special Instructions</b>
3. Department Performance Audits	D	S.A.R.M.M. 1-23	Permanent.	These files are a historical documentation of the departments operations and productivity on individual programs, or financial records.	
4. Performance Audit Working Papers	R	S.A.R.M.M. 1-35	Retain until administrative need ends and then destroy.	Provides prospective analyses, guidance, or summary information.	* Confidential Record Authority: CRS 24-72-204(3)(A)(iv) Privileged Information Access: "Auditors & Persons in Interest."
5. Internal Audit Reports	R	S.A.R.M.M. 1-20	(10) years from the date of issuance of the report.	Documents the department's operations and productivity on individual programs, processes, and risk analyses of the department.	
6. Internal Investigations & Supporting Documentation	R	None	(6) years	Documents the investigations conducted.	

# STATE OF COLORADO

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John W. Hickenlooper, Governor  
Karin McGowan  
Interim Executive Director

Dedicated to protecting and improving the health and environment of the people of Colorado

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Colorado Department  
of Public Health  
and Environment

August 26, 2013

TO:            George Orlowski, Interim State Archivist  
                 Karen Zoltenko, Records Manager

FROM:        Betsy Harrah, Records Liaison Officer

RE:            Revised Records Disposition Schedule for the Operations Division – Office of Legal and  
                 Regulatory Compliance – Internal Audit

Please find attached a revised records disposition schedule for the Operations Division – Office of Legal and Regulatory Compliance – Internal Audit, Archives No. 05-53.

If you have any questions, please contact me at 303-692-2034 or [betsy.harrah@state.co.us](mailto:betsy.harrah@state.co.us).

Thank you.





**John W. Suthers**  
Attorney General  
**Cynthia H. Coffman**  
Chief Deputy Attorney  
General  
**Daniel D. Domenico**  
Solicitor General

**STATE OF COLORADO**  
**DEPARTMENT OF LAW**  
Office of the Attorney General

**Ralph L. Carr**  
Colorado Judicial Center  
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Denver, Colorado 80203  
Phone (720) 508-6000

February 24, 2014

## **C O N F I D E N T I A L   M E M O R A N D U M**

### **PRIVILEGED ATTORNEY-CLIENT MEMORANDUM**

**TO:** Paul Levit and Karen Zoltenko  
State Archives

**FROM:** Tricia A. Leakey (TL)  
Assistant Attorney General  
State Services Section

**RE:** Records Disposition Schedule  
CDPHE, Operations Division, Archives #14-06

With regard to the above request, I have no comments.

