

RECORDS MANAGEMENT MANUAL

STATE GOVERNMENT AGENCIES

SCHEDULE NO. 1

ADMINISTRATIVE RECORDS

1-1. Acknowledgement Files

Acknowledgment, transmittal of inquiries, and requests that have been referred elsewhere for reply.

Retention

Record copy:

Retain for 3 months after acknowledgment and/or referral and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-2. Administrative Hearing Transcripts

Transcripts of hearing conducted as part of the regulatory process and hearings on proposed rules and changes; they may be maintained with related information including meeting notices, proofs of publications, meeting minutes, and the conclusions reached.

Retention

Record copy: Permanent.

Duplicate copies: Retain by agency for 5 years and then destroy.

1-3. Administrative Reference/Reading Files

Record of all memoranda and correspondence generated by another agency for general reference by all agency employees.

Retention

Record copy Retain for 1 year or until administrative need ends, whichever is first, and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-4. Administrative Rulemaking Files

Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.

Retention

Record copy: Retain by agency for 3 months or until administrative need ends and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

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1-5. Agency Written Histories

Scrapbooks, photographs, articles, program notes and documentation of events sponsored or funded by an agency. Also included are narrative audio or audio-visual agency histories.

Retention

Record copy: Permanent. Retain by agency for 10 years and then transfer to State Archives.

Duplicate copies: Retain until no longer needed then destroy.

1-6. Attorney General's Opinions

Legal interpretations written at the request of an agency asking for guidance in enforcing, obeying, and/or interpretation of the law.

Retention

Record copy: Permanent. Retain by the Office of the Attorney General for 5 years and then transfer to State Archives.

Duplicate copies: Retain until no longer needed then destroy.

1-7. Committee and Conference Files

Records created by a committee or conference which has been created by the General Assembly or Governor, including advisory committee's relating to executive establishment, organization, membership, and policy. Includes agenda, meeting minutes, final reports and related records documenting the accomplishments of official boards and committees.

Retention

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 5 years and then destroy.

1-8. Daily Activity Schedules

Records regarding State employees who are not executives or exempt status containing substantive information relating to official activities, the substance of which has not been incorporated into official files. Includes calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of employees. See also Executive Calendars or Routine Activity Calendars.

Retention

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-9. Executive Calendars

Records containing substantive information relating to the official activities of high-level officials which are not incorporated into memoranda, reports, correspondence, or other records included in the official files. Include calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of the employees. See Daily Activity Schedules.

Retention

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

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1-10. Executive Correspondence

Records not duplicated elsewhere that document how the office is organized and how it functions, its pattern of action, its policies, procedures and achievements.

Retention

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives.

Duplicate copies: Retain until no longer needed then destroy.

1-11. Feasibility Studies

Studies conducted before the installation of any technology or equipment. Studies and systems analyses for the initial establishment and major changes of these systems.

Retention

Record copy: Retain for the life of the technology or equipment plus 1 year.

Duplicate copies: Retain by agency for 2 years and then destroy.

1-12. Finding Aids

Indices, lists, catalogues, registers, and other finding aids necessary for the efficient use of other records.

Retention

Record copy: Retain until no longer needed then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-13. Forms Development Files

Working papers, background materials, requisitions, specifications, processing data, and control records which provide documentation to the creation and establishment of a form.

Retention

Record copy: Retain for 1 month after form is discontinued, superseded, or canceled and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-14. General Correspondence (Routine)

Records that are general in nature and do not relate directly to primary program responsibilities of an office or agency. Letters or appreciation, congratulations, charity fund, parking assignments, etc.

Retention

Record copy: Retain by agency for 1 year and then destroy

Duplicate copies: Retain by agency for 3 months and then destroy.

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1-15. Government Records Access Appeal Case Files

Case Files that contain information on government records access appeals to the designated Records Officer, Chief Administrative Officer, State Archivist, and the District Court. They contain correspondence, copies of requests, research notes, court documents, and any other documentation concerning the appeal process.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-16. Incoming Document Log

Records which provide detailed information on incoming documents that require distribution or action.

Retention

Record copy: Retain by agency for 1 year and then destroy

Duplicate copies: Retain by agency for 6 months and then destroy.

1-17. Internal Administrative Correspondence

Records of a general nature (not policy) which would be created in the course of administering agency programs. Information could include office organization, staffing, procedures, and internal communications.

Retention

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

1-18. Internal Committee and Conference Files

Records relating to executive establishment, organization, membership, and committee policy to handle problems or issues within an agency.

Retention

Record copy: Retain by agency for 2 years after termination of committee and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

1-19. Litigation Case Files

Document judicial proceedings, which involve the state agency. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information.

Retention

Record copy: Portions of this series may be kept permanently by the State Archives through the Attorney General's office. Court records in this series are also available in the court having jurisdiction over these cases.

Duplicate copies: 6 years after case is closed and then destroy.

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1-20. Management Improvement Reports

Reports on analysis and implementation of programs and operation of those programs.

Retention

Record copy: Retain by agency for 10 years and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-21. Minutes of the Governing Body

Records of official proceedings of the governing body. Information includes agenda, date, place, list of attendees, action taken on resolutions, and a summary of discussion and decision. Official minutes also include all informational attachments such as reports, survey, proposals, studies and charts distributed to members for discussion and for use in making decisions on institution policy, planning and administrative matters.

Retention

Record copy: Permanent.

Ad hoc committees (non-official): 3 Years

1-22. Organizational Files

Records detailing an organization, which could include charts and reorganization studies. Also administrative maps that show regional boundaries and headquarters of decentralized agencies or that show the geographic extent or limits of an agency's programs and projects.

Retention

Record copy: Permanent. Retain by agency for 3 years and then transfer to State Archives.

Duplicate copies: Retain by agency until superseded and then destroy.

1-23. Performance Audit Reports

These are reports written and prepared as a result of a performance audit on state agencies. They contain summary documentation on agencies programs, operations and productivity.

Retention

Record copy: Permanent.

Duplicate copies: Retain until no longer needed then destroy.

1-24. Policies and Procedures Manual

Policies and procedures that govern the operation and administration of various programs within the organization.

Retention

Record copy: Permanent.

Duplicate copies: Retain until no longer needed then destroy.

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1-25. Policy and Procedure Case Files

Case Files related to policy and procedure issuances which document the development of the issuance. Includes issuances related to routine administrative functions (e.g., payroll, procurement, and personnel).

Retention

Record copy: Retain by agency for 2 years after superseded and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-26. Proposed Legislation Records

Records created by governmental agencies for the purpose of proposing legislation. They contain correspondence, memoranda, research information on proposed legislation, fiscal notes, summaries, estimated cost reports, impact statements, and other information documenting the proposed legislation.

Retention

Record copy: Permanent.

Duplicate copies: Retain until no longer needed then destroy.

1-27. Publications

Documents created by the agency, including pamphlets, reports, leaflets, file manuals, annual reports, other published or processed documents, and the last manuscript report, if not published, relating to management projects.

Retention

Record copy: Permanent. Creating agency shall transfer one copy to State Archives when published.

Duplicate copies: Retain by agency until administrative need ends and then destroy.

1-28. Public Record Register Sheets

Descriptive listings of agency records transferred to the State Archives. Information includes records series number, agency name and address, record series title and inclusive dates, classification information, accession number, agency box number, description of box contents, and date of transfer.

Retention

Record copy: Retain by agency for 5 years after records are destroyed and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-29. Records Disposition Files

Records which document the destruction of a governmental agency's records, such as destruction letters or destruction logs. May also contain documentation of records maintained and destroyed by the State Archives.

Retention

Record copy: Permanent.

Duplicate copies: Retain for 1 year and then destroy.

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1-30. Records Management Files

Records used in creating and establishing records management programs. They may contain records inventories, correspondence, classification designations, records control, equipment, filing procedures/manuals, training information, and other documents created by the State Archives and other agencies to facilitate records management practices. May also contain information on records management equipment and/or computer software.

Retention

Record copy: Retain by agency until updated or superseded and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

1-31. Technical Reference Files

These are documents retained strictly for reference and informational purposes which are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, extra (non-record) copies of policy and procedure files, brochures, catalogs, vendor price lists, and publications prepared internally and externally.

Retention

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-32. Transitory Files

Papers of short-term interest which have no documentary or evidential value. Includes transmittal correspondence, copies of replies which require no administrative action, no policy decision, and no special compilation or research for reply; and quasi-official notices such as for holidays, charity, and fund appeals, bond campaigns, and other similar papers.

Retention

Record copy: Retain by agency for 3 months or until administrative need ends and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-33. Transmittal Correspondence

Letters or other attachments to records which do not provide any additional information to what is being sent.

Retention

Record copy: Retain by agency for 3 months and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

1-34. Word Processing Files

Documents such as letters, messages, memoranda, reports, handbooks, directives, and manuals recorded on electronic media such as hard disks or floppy diskettes and is used to produce a hard copy which is then maintained in organized files.

Retention

Record copy: Retain by agency until hard copy is filed and administrative need ends and then delete.

Duplicate copies: Retain until no longer needed then destroy.

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1-35. Working Papers

Papers which have a short-term use and comprise the background records, such as preliminary studies, drafts, analyses, notes, interim reports regarding a particular case files, and financial performance audits.

Retention

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

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SCHEDULE NO. 2

BUDGETING RECORDS

2-1. Annual Budget Reports

Agency reports at the end of the fiscal year on the status of appropriation accounts and apportionment.

Retention

Record copy: Permanent. Retain by agency for 7 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 5 years and then destroy.

2-2. Block Grant Monthly Reports

Annual reports on grants received by State agencies from the Federal Government and may contain application, notice of award, program reports, and correspondence.

Retention

Record copy: Retain by agency for 3 years after grant ends and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

2-3. Block Grant Yearly Reports

Annual reports on grants received by State agencies from the Federal Government and may contain application, notice of award, program reports, and correspondence.

Retention

Record copy: Retain by agency for 3 years after grant ends and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

2-4. Budget Apportionment Files

Apportionment and reapportionment schedules, proposing monthly obligations under each authorized appropriation.

Retention

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

2-5. Budget Work Papers

Records used to assist in the preparation of the division budget and to justify budget requests presented to the department director. They also contain work program, etc.

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

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2-6. Budget Estimates and Justification Files

Copies of budget estimates and justification prepared or consolidated in formally organized budget offices. Included are appropriation language sheets, narrative statements, workload/expansion plans and related schedules and data.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

2-7. Budget Policy Files

Correspondence or subject files of formally organized budget offices documenting agency policy and procedures governing budget administration, and reflecting policy decisions affecting expenditures for agency programs.

Retention

Record copy: Retain by agency for 7 years then transfer to State Archives.

Duplicate copies: Retain by agency for 2 years and then destroy.

2-8. Grant Case Files

Accepted proposals and applications, contracts, project reports, studies, certificates, agreements, memoranda, correspondence, and other records relating to receipt, review, award, evaluation, status and monitoring of grants; allocation of funds and project budgets. Specific grant case files may have additional retention requirements, please contact the State Archives to schedule a specific retention.

Retention

Record copy: Retain by agency for 3 years after grant has ended and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

2-9. Grant Control Files

Indices, registers, logs, or other records relating to control of assigning numbers or identifying projects, applications, and grants.

Retention

Record copy: Retain by agency for 3 years after grant has ended and then destroy

Duplicate copies: Retain until no longer needed then destroy.

2-10. Periodic Budget Reports

Monthly or routine reports on the status of agency appropriation accounts and apportionment, excluding Annual Budget Reports.

Retention

Record copy: Retain by agency for 3 years after the close of the fiscal year and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

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2-11. Unsuccessful Grant Application Files

Rejected or withdrawn grant applications, memoranda, correspondence, and other records relating to the decision to reject the grant proposal.

Retention

Record copy: Retain for 2 years after rejection or withdrawal and then destroy.

Duplicate copies: Retain until no longer needed then destroy

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SCHEDULE NO. 3

CARTOGRAPHIC RECORDS

Cartographic records include maps (printed, automated, scanned and microfilmed), aerial photography, globes, models, raised relief maps, and remote sensing imagery. These records have a special place in preserving the history of Colorado and should be scheduled as part of an agency-specific schedule.

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SCHEDULE NO. 4

COMMUNICATIONS RECORDS

4-1. Mail Control Records

Records of receipt and routine of incoming and outgoing mail and items handled by private delivery companies such as United Parcel Service, including statistical reports of postage used on outgoing mail and fees paid for private deliveries (special delivery, foreign, registered, certified, and parcel post).

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

4-2. Messenger Service Records

Daily logs, assignment records and instructions, dispatch records, delivery receipts, route schedules, and related records.

Retention

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 2 months and then destroy.

4-3. State Mail and Delivery Service Receipts

Records of receipts for mail and packages received through the state mail system.

Retention

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

4-4. Telecommunications Service Work Orders

Reference copies of vouchers, bills, and invoices, relating to the installation, change, removal, and servicing of equipment.

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

4-5. Telecommunications Service Agreements

Copies of agreements with background data and other records relating to agreements for telecommunications services.

Retention

Record copy: Retain by Division of Information Technologies for 4 years after expiration or cancellation of agreement and then destroy.

Duplicate copies: Retain by agency for 2 years after expiration or cancellation of agreement and then destroy.

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4-6. Telecommunications Service Records

Telecommunications general files including plans, reports, and other records pertaining to equipment requests, telephone service, and other similar services.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies Retain until no longer needed then destroy.

4-7. Telecommunications Statistical Reports

Statistical information gathered from a telecommunication program to document cost and volume. Information includes repair orders, billings, new equipment purchases, and accounting information.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

4-8. Telephone Message Registers

Message registers, logs, performance reports, daily load reports, and related or similar records.

Retention

Record copy: Retain for 6 months and then destroy.

Duplicate copies: Retain for 2 months and then destroy.

4-9. Telephone Messages

Incoming and outgoing telephone messages.

Retention

Record copy: Retain for 2 months and then destroy.

Duplicate copies: Retain for 1 month and then destroy.

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SCHEDULE NO. 5

DATA PROCESSING RECORDS

5-1. Activity Monitoring Records

Records which monitor the activities of a data processing system. Information includes console logs, physical, and on-line access.

Retention

Record copy: Retain by agency until administrative need ends and then destroy.

Duplicate copies: Retain by agency until no longer needed and then destroy.

5-2. Batch/Data Entry Control Forms

Information on all batch or data entry records received by the mainframe.

Retention

Record copy: Retain by the Division of Information Technologies or the appropriate agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

5-3. Computer Hardware Maintenance Records

Records documenting the service, repair, and inspection of computer hardware (mainframes, mini and micro computers), which also includes service/maintenance agreements.

Retention

Record copy: Retain by agency for 1 year after disposal of equipment and then destroy.

Duplicate copies: Retain until the equipment is sold or disposed of plus 1 year, and then destroy.

5-4. Computer Job Schedules and Reports

Schedules or similar records showing computer jobs to be run and other reports by computer operator or programmers or work performed.

Retention

Record copy: Retain until administrative need ends and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

5-5. Computer Produced Output Reports

Machine produced reports showing transactions that were accepted, rejected, suspended or processed.

Retention

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

5-6. Computer Utilization and Billing Reports

Records showing computer use by each agency and any charges for space or time.

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Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies Retain by agency for 3 years and then destroy.

5-7. Data Processing Planning Records

Reports, studies, analysis, and short-range plans.

Retention

Record copy: Permanent. Retain by the Information Management Commission for 10 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 3 years and then destroy.

5-8. Documentation

System documentation, program and file user operations manuals

Retention

Record copy: Retain until program is discontinued plus 1 year and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

5-9. Programs and Job Control Language

Machine language file for tracking data in the system.

Retention

Record copy: Retain by agency for the life of the data and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

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SCHEDULE NO. 6

FACILITY MANAGEMENT RECORDS

6-1. Americans With Disabilities Act (ADA) Files

Records that indicate compliance to Americans with Disabilities Act (ADA). Included are surveys of government buildings to determine accessibility to the physically challenged, federal regulations, proposals for implementing the act, correspondence, resolutions, and solutions to access problems.

Retention

Record copy: Retain by agency for 15 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

6-2. Appraisal Files

Files including location, description, value, and photographs of property.

Retention

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

6-3. As-Built Construction Plans and Specifications

Final plans and specifications for approved and constructed state buildings.

Retention

Record copy: Permanent. Retain until microfilmed and then transfer copy of microfilm to State Archives.

Duplicate copies: Retain for 5 years and then destroy.

6-4. Building and Equipment Service Files

Requests for building and equipment maintenance services, excluding fiscal copies.

Retention

Record copy: Retain by Facilities Management for 3 years after fiscal year ends and then destroy.

Duplicate copies: Retain by agency for 3 months after work is performed or requisition canceled and then destroy.

6-5. Construction Budget Requests

Construction requests sent to the Joint Budget Committee/Capital Development Committee that reveal budgetary impacts of planned construction.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 3 years and then destroy.

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6-6. Construction Plans In-Review

Preliminary designs and specifications prepared by architectural firms for review by state agency.

Retention

Record copy: Retain for 1 year after approval of final plans or rejection and then destroy.

Duplicate copies: Retain until construction phase begins and then destroy.

6-7. Construction Project Case Files

Case files documenting the construction of new buildings and the renovation of rented building for state use.

Retention

Record copy: Permanent. Retain until microfilmed and then transfer copy of microfilm to State Archives.

Duplicate copies: Retain for 6 years and then destroy.

6-8. Facilities Management Guidelines

Information pertaining to disability access, historic preservation, energy conservation, environmental protection and planning.

Retention

Record copy: Retain until superseded or obsolete then destroy.

Duplicate copies: Retain until no longer needed then destroy.

6-9. Maintenance Work Orders

Requests from agencies for repair of building equipment, minor construction, or painting.

Retention

Record copy: Retain by Facilities Management for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

6-10. Natural Disaster and Damage Survey of Public Buildings

Survey and analysis of damage done to public building during natural disasters.

Retention

Record copy: Permanent. Retain by Facilities Management for 10 years and then transfer to State Archives.

Duplicate copies: Retain for 3 years and then destroy.

6-11. Space Utilization Reports

Reports on the amount of floor space in agency buildings, number of rooms, and the capacity.

Retention

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until no longer needed then destroy.

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6-12. Under-Construction Plans and Specifications

Specifications used by contractors and architects as guidelines to construct previously designed buildings.

Retention

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

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SCHEDULE NO. 7

FINANCIAL RECORDS

Department of Personnel and Administration
Division of Finance and Procurement/ State Controller's Office
Financial Records Retention Guidelines For
Financial Related Documents

The following guidelines establish retention periods for selected financial records and information and identify the state agency/institution responsible for maintaining those records. These guidelines represent the minimum length of time that financial records must be maintained. Circumstances may exist that would require a state agency/institution to maintain certain financial records for longer periods of time. If longer retention periods are being used than those in these guidelines, a state agency/institution should document the reason. These guidelines permit state agencies/institutions to retain the financial records in a format that is the most appropriate for the agency/institution. (e.g. paper, microfilm, electronic, CD ROM etc.)

State agencies/institutions should develop record retention guidelines for financial records not specifically identified in these guidelines in accordance with CRS 6-17-104 which states: "Records retention period. Any record required to be created or kept by any state or local law or regulation may be destroyed after three years from the date of creation, unless such law or regulation establishes a specified records retention period or a specific procedure to be followed prior to destruction."

The Office of Information Technologies (OIT) within the Governor's Office is responsible for the operation of the Colorado Financial Reporting System (COFRS). While the State Controller's Office is the official custodian of all state financial records (see Fiscal Rule 1-3), OIT is responsible for the safekeeping of all COFRS related information, such as online tables and ledgers, and generated reports and is responsible for the retention of the COFRS information and for the reports generated by the system. INFOPAC is designated as the "Online" source of reports. OIT uses a combination of tapes and disks to store COFRS related information for longer periods of time. Information on the length of time COFRS maintains each report is available from Application Services in OIT. Departments are not required to keep COFRS generated reports unless they have documented need beyond the time frame published OIT schedule or unless specifically noted elsewhere in this document.

In addition, OIT is responsible for the record retention related to COFRS table information. COFRS tables contain point-in-time information. For purposes of record retention, COFRS will keep only the table information that exists at final year-end close. COFRS keeps on-line table information for five years for all tables. COFRS will keep selected budget tables and ledgers, including APPI, AFSI, AFSC, AFCI, LBLI, and OLBL on-line for seven years. In addition, COFRS will keep the BSOPEN, GENERAL, BUDGET, and related Year-to-Date Ledger files for 10 years. State agencies/institutions will need to maintain table related information at other points in time during the year or for longer periods based on the needs of the state agency/institution.

The guidelines are organized by subject area. In many cases, the guidelines refer to COFRS documents. Documents used in stand alone financial system that interface information to COFRS should be retained in accordance with the time frames for the similar COFRS document. All retention periods identified are based on fiscal years and are in addition to the current fiscal year.

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A. PROCUREMENT RECORDS

1. Canceled Solicitation Files

Formal solicitations (IFB's, RFP's and DQ's) to provide products or services that were canceled prior to executing a contract. Information includes pre-solicitation documentation on requirements and specifications, offers opened prior to cancellation, documentation on government action up to the time of cancellation, and the official reason for the cancellation, as required by statute and rule.

Retention: Retained by state agency/institution requesting the bid for one year.

2. Contract Controversies and Appeals Files

Files consisting of notices of appeal and acknowledgments, correspondence between parties, copy of contract, plans, specifications, exhibits, change orders and amendments, transcripts of hearings (if applicable), documents received from parties, final decision, and other relevant records.

Retention: Retained by the office processing the appeal for six years after expiration or termination of the contract.

3. Contract and Purchase Order Files

Contract files that document procurements for any amount and type, including contract, requisition, purchase order, lease records, tax exemption certificates, correspondence, basis for award, contract administration records of every type including but not limited to payroll files, receipts, inspection reports, audit information, and payments.

Retention: Contracts signed by State Controller retained by the State Controller's Office for three years after the contract term ends and then sent to State Archives for an additional three years.

Contracts signed by delegated state agencies/institutions retained by delegee for six years after the contract term ends.

4. Leasing Contract Files

Building or equipment leases and related records documenting agreements, services, and payments

Retention: Retained by state agency/institution entering into the lease for six years after expiration or termination of contract.

5. Purchase Requisitions for amounts below purchase order threshold.

Retention: Retained by state agency/institution for one fiscal year.

6. Real Property Acquisition Files

Title papers documenting the acquisition of real property by purchase, condemnation, donation, exchange, or otherwise.

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Retention: Retained by state agency/institution for six years and transfer to state archives to retain permanently.

7. Successful Bids and Proposals

Solicited and unsolicited successful bids and proposals to provide products or services to an agency by a private contractor.

Retention: Retained by state agency/institution for six years after expiration or termination of the contract.

8. Expendable-Supply Management Files

Inventory reports, documents supporting orders for/from inventory.

Retention: Retained by state agency/institution for three months.

9. Tax Exemption Files

Tax exemption certificates and related records.

Retention: See contract/ purchase order file guidelines above.

10. Unsuccessful Offers (Bids and Proposals)

Solicited and unsolicited unsuccessful bids and proposals to provide products or services to the state.

Retention: Retained by state agency/institution for two years after contract signed or purchase order issued.

11. Electronic Records on BIDS

All official electronic information residing on the BIDS server.

Retention: Retained electronically on BIDS server for 10 years.

12. Protest and Appeal Records

Copies of protests, appeals, protest decisions, appeal decisions and evidence or records supporting the decisions.

Retention: Retained by state agency/institution for one year after contract or purchase order signed.

B. BOND DOCUMENTS

1. Bond Official Transcripts

Official files regarding authority to permit bond negotiations with paying agent.

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Retention: Retained by Department of Treasury for three years and then transferred to State Archives.

Retained by State Archives permanently.

2. Bond Registration Files

Issuing agent's copies of bond registration stubs.

Retention: Retained by state agency/institution issuing bonds for 2 years.

3. Bonds, Notes and Coupons Paid

Coupons and notes redeemed throughout the life of the bond.

Retention: Retained by the Department of Treasury for one year after redeemed by paying agent.

4. State General Obligation Bonds

Documents supporting debt authorized by the Legislature under the guidance of the State Bonding Committee. This debt represents an obligation supported by the full faith and credit of the State.

Retention: Retained by the bond issuer for one year after the bond is paid or otherwise retired.

5. State Revenue Bonds/Notes

Documents supporting debt issued by the State that are supported by a specific revenue source of the state. Example includes Tax Revenue Anticipation Notes or TRANS.

Retention: Retained by issuing agency/institution for one year after paid or otherwise retired.

C. BUDGET RECORDS

1. Coded Long Bill

Annual signed appropriations act containing centralized COFRS coding for monitoring budgetary compliance.

Retention: Retained by the State Controller's Office for 10 years.

2. Budget Document

State agency's annual budget request presented to the Legislature.

Retention: Retained by state agency/institution for three years.

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3. Budget Work Papers

Records used to assist in the preparation of the state agency /institution's annual budget request presented to the Legislature.

Retention: Retained by state agency/institution for three years.

4. Annual Budget Reports

Financial accounting system reports obtained after the close of the fiscal year showing the status of a state agency/institution's compliance with annual appropriations.

Retention: Retained by state agency/institution for seven years.

Permanent record with State Archives after seven years.

5. Appropriation Documents

Accounting system transactions used to record spending authority limits approved by the executive and legislative branches.

Retention: Retained by State Controller's Office for five years. Retained by state agency/institution for two years.

D. CASH MANAGEMENT

1. Bank Records

Documentation of transactions within state bank accounts maintained by the Department of Treasury, or external bank accounts maintained by the agency. Information includes deposit slips, cancelled checks, debit/credit memos, bank adjustment memos, bank statements and bank reconciliation.

Retention: Retained by Department of Treasury/state agency/institution for three years.

2. Cash and Credit Card Receipts

Receipt to customer for sales by the state agency/institution purchased with cash or credit cards.

Retention: Retained by state agency/institution for three years. The original credit card receipt maintained for the period stipulated by State credit card agreement, normally six months. A copy of the receipt may be kept for the remaining period.

3. Deposits with State Treasurer

Deposit form and documentation of federal, cash or other funds recorded by the state agency/institution and deposited with the state treasurer.

Retention: Retained by state agency/institution for three years. Retained by the Department of Treasury (deposit form only) for three years.

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4. EFT Authorizations

Documentation relating to the authorization of payments via EFT

Retention: Retained by State Controller's Office for seven years after the last distribution per NACHA guidelines

5. External Bank Account Authorization

Documentation of approval for external bank accounts by the state controller and state treasurer.

Retention: Current authorizations retained until accounts are closes. Closed accounts authorizations are retained by the State Controller's Office for two years.

6. Payment Logs/EFT and Warrant

Documentation relating to the disbursement of payment via EFT or state warrants, including EFT tape report.

Retention: Retained by State Controller's Office for five years.

7. Warrant Reconciliation

Actual warrant (may be copy) issued for payment of goods and services, and warrant reconciliation and documentation.

Retention: Retained by the Department of Treasury for one year. Retained by archives for nine years, then destroyed.

8. Warrant/Cancelled

Documentation relating to warrants expired and cancelled.

Retention: Retained by the State Controller's Office for five years.

9. Warrant/Lost

Documentation relating to a lost and replaced warrant.

Retention: Retained by the State Controller's Office for five years.

E. CONTRACTS

1. State Contracts

Contract files that document procurements for any amount and type, including contract, requisition, purchase order, lease records, correspondence, basis for award, contract administration records of every type including but not limited to payroll files, receipts, inspection reports, audit information, and payments.

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Retention: Contracts signed by State Controller retained by the State Controller's Office for three years after the contract term ends and then sent to State Archives for an additional three years.

Contracts signed by delegated state agencies/institutions retained by that agency/institution for six years after the contract term ends.

2. State Controller Delegation Authority Letters

Letters signed by the State Controller authorizing selected personnel from a department to sign contracts on behalf of the State Controller.

Retention: Retained by state agencies/institutions until such time as a new letter is issued or the delegation is rescinded by the State Controller.

Retained by the State Controller's Office indefinitely.

3. Agency Signature Authority Forms

Forms completed by state agencies/institutions authorizing selected personnel to sign on behalf of the executive director or president.

Retention: Retained by state agencies/institutions until such time as it is changed by the chief executive officer of the state agency/institution.

Original letter retained by the State Controller's Office maintains a file of these authorizations indefinitely.

F. EXPENDITURES

1. Employee Travel Reimbursement Vouchers and Records

Records relating to reimbursing individuals, such as travel orders, travel authorizations, per diem vouchers, transportation requests, hotel reservations, reimbursement requests, and all supporting records documenting travel by officers, employees, dependents or others authorized by law to travel.

Retention: Retained by state agency/institution for three years.

2. Expenditure Accounting General Correspondence and Control Files

Correspondence or subject files maintained by operating units responsible for expenditure accounting pertaining to their internal operations and administration.

Retention: Retained by state agency/institution for three years.

3. Federal 1099 Records

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1099-MISC and 1099-INT original and corrected statements

Retention: Retained by State Controller's Office for four years from issuance.

Electronic tape of original and corrected 1099 information submitted to the federal government.

Retention: Retained by State Controller's Office for four years from issuance.

4. Inter-departmental Transfers

Prepared and used by agencies to request transfer of funds to another agency to pay for services rendered or goods provided. Information includes voucher number; date; accounting information on program or project charged; authorization; description of service or description, number and prices of units bought; selling agency, total amount charged, and all supporting documentation.

Retention: Retained by state agency/institution for three years.

5. Petty Cash Records

Records verifying all money received and expended through a petty cash account. Include cash receipts, daily accounting records, reconciliation, transmittals, signed cash disbursement request with supporting receipts approved by the authorized approving authority.

Retention: Retained by state agency/institution for three years.

6. Procurement Card Records

Credit card receipts and vendor receipts or bills of sale detailing the description, quantity and price of items purchased. Information showing the account charged on the accounting system and authorization for the purchase are included.

Retention: Retained by state agency/institution for three years.

7. Vouchers for the Purchase of Goods and Services

Vouchers and all documentation related to the payment for agency and employee expenditures. Documentation includes original vendor invoices and statements, commitment documents, information verifying date goods or services were received, payment voucher reference number, description of transaction, date and amount of transaction, account information on projects or programs charged, and evidence of proper authorization of the charge.

Retention: Retained by state agency/institution for three years.

G. FEDERAL AID BILLING (FAB)

The COFRS Federal Aid Billing subsystem provides an automatic billing process for Federal Highway Appropriation (FHWA) projects. It specifies the funding sources for projects and then bills each source. The Department of Transportation (CDOT) is the only agency using the FAB subsystem.

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Retention: Retained by state agency/institution based on federal requirements.

H. FIXED ASSETS

1. Fixed Assets (FAA)

The COFRS Fixed Asset Management subsystem provides a means of accounting for and reporting on fixed assets including programs for calculating depreciation on these assets. Currently only one state department is using this subsystem; however, all departments are required to account for their fixed assets. Fixed asset records are retained by state agencies

2. Physical inventory records

Detail records showing fixed assets owned by a state agency/institution.

Retention: Retained by state agency/institution for three years.

3. Depreciation schedules

Detail records showing estimated useful lives, current year depreciation expense, and total accumulated depreciation for individual assets or classes of assets.

Retention: Individual schedules retained by state agency/institution until three years after the asset is disposed. For classes of assets, depreciation schedules are retained for three years.

4. Acquisition of fixed assets records

See contract and purchase order and voucher retention periods.

5. Disposal of fixed assets records

Documentation supporting the sale or other disposition of state owned fixed assets. Records include the transfer of assets for disposal to the Department of Corrections, Division of Correctional Industries, Surplus Property. See "Schedule 14, Property Records" in this Records Management Manual for additional information.

Retention: Retained by state agency/institution for three years.

6. Acquisition/disposal of real property

All paperwork related to the acquisition of real property.

Retention: Retained by state agency/institution as long as the property is owned. After disposition, it should be retained by the agency/institution for six years, then transferred to State Archives. See "Schedule 14, Property Records" in this Records Management Manual.

I. GENERAL LEDGER

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1. Adjusting Journal Entries

Entries made to the accounting system that moves amounts between balance sheet and income statement accounts but does not result in the actual receipt or disbursement of cash. The entries contain the affected accounts and an explanation of the why the adjustment is being made.

Retention: Adjusting entries requiring State Controller/State Treasurer approval retained by the State Controller's Office/State Treasurer for five years. Duplicate copy retained by state agency/institution for three years.

Adjusting entry requiring only state agency/institution approval retained by state agency/institution for three years.

J. GRANT FILES

Official files regarding financial assistance received by a state agency/institution, from federal or private sources. Documentation includes: Grant award and modifications, budget, financial status reports, close out letter from grantor, and other related correspondence, reports and information as necessary to meet audit or statutory requirements of the granting agency.

Retention: Retained by the state agency/institution/grantee to satisfy the requirements of the grantor. Generally three years after the submission of the final grant report or until any pending audit, claim or litigation has been resolved.

K. INVENTORY CONTROL (INV)

The COFRS Inventory Control subsystem supports the requisition processing, inventory management, purchasing, and physical inventory reconciliation for a perpetual inventory. Other perpetual inventories may exist in the state with only totals from these subsidiary ledgers recorded on COFRS. Documents such as purchase orders, vendor invoices and payment vouchers are not part of inventory records. Retention for these documents is addressed in other sections. Duplicate copies of these records by inventory managers are not required.

Retention: All inventory records are maintained at the state agency/institution. Each state agency/institution determines which documents, reports and other inventory records are critical to its operation. The minimum retention period for critical inventory records is one year plus the current. Reports and documents that are not critical should be kept only until the agency administrative needs are met. Year end counts and adjustments are kept for three years from the date of inventory.

L. LABOR DATA COLLECTION (LDC)

The COFRS Labor Data Collection (LDC) subsystem facilitates the capture, costing and distribution of time sheet data for state employees. Labor Data Collection also facilitates position tracking and reporting of time record information. It is an integrated subsystem of COFRS and operates on a detailed cost accounting level (sufficient to capture costs for projects, grants, programs, functions, organizations and reporting categories).

Retention: All LDC transactions (e.g. AJ, TD, TS) with applicable supporting documentation (e.g. timesheets) are maintained at the agency for three years.

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M. PROJECTS (PRJ)

The COFRS Project Accounting subsystem identifies and collects all project related information. It contains descriptive and financial information pertaining to project. This information is maintained in a separate ledger independent of the agency and organization structure. The ledger allows for reporting on multi-year projects. The project module is available for agency determined use.

Retention: Retained by state agency/institution based on individual state agency/institution policy and/or requirements.

N. REVENUE/ACCOUNTS RECEIVABLE

1. Accounts Receivable Invoices

Invoices billing state and non-state organizations for goods or services provided by a state agency/institution.

Retention: Retained by state agency/institution for three years after receivable is paid in full.

2. Loan Records

Records that document state funds disbursed by a state agency/institution with the requirement that the funds be repaid either by periodic payment or in a lump sum at some point in time in the future.

Retention: Retained by state agency/institution for three years after loan is paid in full.

3. Receipt Books

Agency copy of receipts given to customers for cash payments received.

Retention: Retained by state agency/institution for three years.

4. Revenue Contracts

Contracts entered into by a state agency/institution that results in earned revenue from services performed or goods supplied.

Retention: Retained by state agency/institution for three years after completion of the contract or the contract is paid in full.

5. Taxpayer Records

Information obtained or generated by the Department of Revenue related to income or other taxes paid by taxpayers.

Retention: Retained by state agency/institution for 10 years.

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O. SECURITY RECORDS

1. Delegated Security Memorandum of Understanding

Agreements signed by each department granted the ability to maintain COFRS security for its employees. The agreement defines the effective dates, conditions, and limits of the delegation. The agreement is signed by person being delegated the responsibility to manage the security profiles, the department executive director, and representatives of the State Controller's Office.

Retention: Original agreement retained by the State Controller's Office for three years after the expiration of the agreement.

2. Individual Employee Profiles

Initial set-up and changes to the security profiles of an employee. All profiles must be signed by the authorizing individual.

Retention: Retained by the state agency/institution for the duration of the authorized profile plus two years after the user's profile is changed or expires.

SCHEDULE 8 – HIGHER EDUCATION

GENERAL RECORDS RETENTION SCHEDULES FOR COMMUNITY COLLEGES, STATE COLLEGES AND UNIVERSITIES

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General Records Retention Schedules For Community Colleges, State Colleges and Universities

Introduction and General Matters, Application of Schedule

The following general records retention schedule contains minimum retention periods for the official copy of the institution's records. **Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference.** To destroy records in accordance with this schedule, institutions must obtain approval from the State Archives by completing and submitting records destruction authorization forms. These forms are available from the Division of Correctional Industries. Before applying for disposition of public records under this general schedule, applicable federal and/or state audit, legal, litigation, fiscal and other retention requirements.

GOVERNING BOARD

1-1. *Governing Board Meeting Minutes*

Records of official proceeding of community college, state college or university governing bodies. Information includes agenda, date, place, list of attendees, action taken on resolutions, and a summary of discussion and decision. Official minutes also include all informational attachments such as reports, survey, proposals, studies and charts distributed to members for discussion, and for use in making decisions on institution policy, planning, and administrative matters.

Retention

Office:	3 years
College or University Archives	Permanent

PRESIDENT'S OFFICE

2-1. *Administrative Correspondence*

Concerns communications received and generated by the institution's president. letters pertain to information request, responses to those inquiries; matters related to the board of trustee; administrative and fiscal operations of the institution; consultations with presidents of various colleges or universities; information pertaining to professional organizations and educational authorities; and other related topics.

Retention

Office:	3 years
College or University Archives:	Permanent

2-2. *Administrative Files*

Document executive actions, decisions and interactions with key officials of the institution. Information in the form of memoranda, policy statements, and reports concerns accreditation requirements, budget material, department activities, faculty and student relations, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, personnel matters, academic requirements, student athletic issues, and other related topics. Also included are draft copies of speeches.

Retention

Office:	3 years
College or University Archives:	Permanent

2-3. *Meeting Minutes of President's Executive Staff*

Document meeting held by a state college or university president with his or her executive staff. Information include agenda, date, names of attendees, a summary of discussion, decisions made, and other related information.

Retention

Office:	5 years
College or University Archives:	Permanent

2-4. *Resource Files*

Consists of manuals, informational bulletins, and guidelines required for long term reference in the administration of the institution. Information includes academic issues, copies of personnel policies, National Collegiate Athletic association material, State Board of Community Colleges, Commission on Higher Education activities, copies of state and federal laws or regulations governing the administration of public colleges and universities, fiscal procedures, institution organizational matters, student government activities, and other related subjects.

Retention

Until superseded, or nor longer needed for reference.

PROVOSTS AND VICE PRESIDENTS

3-1. *Administrative Correspondence*

Correspondence is related to the administration of an institution or its major departments and divisions. Communications concern management activities, priorities for academic affairs, major business and finance matters, physical plant maintenance, important student related matters, and athletics administration. These letters are usually found at the institution's provost and vice president levels.

Retention

Office:	3 years
College or University Archives:	Permanent

3-2. *Administrative Files*

Documents actions of a state college or university's provost or vice presidents. Information includes memoranda and reports concerning institutions policy, organization and program development records, and important fiscal data and personnel information. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a community college, state college or university.

Retention

Office:	3 years
College or University Archives:	Permanent

ADMINISTRATIVE SERVICES

4-1. *Accreditation Reports*

Used to record observations, recommendations and decisions of visiting accreditation committee members. These reports are received from study committees of accreditation associations for colleges and universities. Reports reflect suggestions and recommendations concerning an institution's organizational structure and administration, educational programs, financial resources, faculty qualifications, library resources, student body characteristics physical plant features and vital area for institutions of higher learning. Also included are remarks prepared by institution officials to respond to the committee's observations and suggestions.

Retention

Office:	Until no longer needed for reference
College or University Archives:	Permanent

4-2. *Administrative Staff Meeting Minutes*

Records of meetings held by administration officials with administrative staff. Information includes agenda, place, date, list of attendees and a summary of discussions and staff decisions. Also included are informational attachments such as reports, proposals, memoranda and other information distributed to officials and staff for use in making decisions concerning administrative services for an institution.

Retention

Until no longer needed for reference

4-3. *Administrative Bulletins*

Used to record and circulate information concerning policies, procedures, and administrative activities of a college or university. Information includes administrative directives to staff and faculty assignments, educational opportunities, new policies and policy changes, academic program requirements and other related information.

Retention

Until no longer needed for reference

4-4. *Administrative Regulations*

Issued by the Commission on Higher Education or governing body and used for the general operation of college or university programs. Information includes regulations, instructions, or other issuance's that establish methods to administer a college or university's mission, functions, and responsibilities.

Retention

Until superseded and no longer needed for reference

4-5. *Annual Reports*

Published report of college or university governing body made annually to the General Assembly or Commission on Higher Education. Information includes financial summaries, objectives, goals, and other data concerning the college or university during the fiscal year. Most annual reports contain an organizational chart, along with brief narratives, and statistical information concerning each major section and division of the college or university.

Retention

Office:	Until no longer needed for reference
College or University Archives:	Permanent

4-6. *Attorney General Opinions*

Official opinions issued by the Attorney General and his/her assistants. These are legal interpretations written upon request of a college or university to guide in enforcing and obeying the law. Also included is related correspondence. the record copy of this series is maintained permanently by the State Archives through the Attorney General's office.

Retention

Until superseded or no longer needed for reference

4-7. *Calendars*

Used to keep track of work related events and commitments of college or university staff members. Information includes daily appointment books, calendars, and other records indicating dates for meeting and work activities.

Retention

3 years

4-8. *Central Supply Request*

Document copies of central supply requests processed for a college or university. Information includes date, department account code, requisition, item number, quantity ordered, quantity used, description, price, extension, deliver to, and location.

Retention

3 years

4-9. *Committee Files*

Document actions and recommendations of committees, established to provide advice on policy matters and other management topics. Information consists of letters, memoranda, and other paper work concerning budget matters, maintenance of facilities, curriculum development, utilization of state/federal funds, purchase or sale of property and other subjects related to the institution administration, operation and academic programs.

Retention

Office:	5 years
College or University Archives	Permanent

4-10. *Computer Utilization Summaries*

Generated to determine staff use of an institution's computer systems. information details the total time the system is used, amount of individual staff time the system is used, and total time work stations are used (including job queue and printers).

Retention

3 years

4-11. *Conferences, Workshops, and Seminars file (College or University Sponsored)*

Files concerning each conference, workshop or seminar sponsored by the college or university. Information includes registration material, letters, brochures, lists of restaurants, hotel listings, and other related information.

Retention

Until no longer needed for reference

4-12. *Deeds and Leases to College or University Property*

Document deeds and leases to real property owned or used by the state. Information includes description and location of the property, maps, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence.

Retention

Permanent

4-13. *Grant Files (Active and Inactive)*

Used to retain information concerning financial grant assistance received by a state supported college or university. Files contain some or all the following documents: statement of budget and expenditures, notices of grants awarded, financial status reports, authorization for transfer of grant funds, draft copies of detailed budgets for programs, copies of federal assistance, educational grants, student loan and work study programs, financial assistance for veterans and career professionals, and other related information.

Retention

6 years after becoming inactive

4-14. *General Correspondence and Reference File*

Routine correspondence and reference materials created or retained by administrative Services staff. Letters and memoranda reflect communications regarding program procedures. General work activities, and responses to information requests. Also included are copies of policy and procedure statements, program information, reports and other related material.

Retention

2 years

4-15. *Information Technology Plans*

Prepared by community colleges, state colleges, and universities to outline their anticipated needs for information technology. Plans reflect information requirements, equipment needs, service specifications, cost, and technology purchase request. The record copy of this series is maintained permanently through the State Information Management Commission (IMC).

Retention

5 years

4-16. *Internal Management Policy and Procedure Files*

Policies, procedural directives and manuals developed by an institution to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

Retention

Office:

Until no longer needed for reference

College or University Archives:

Permanent

4-17. *Legislative Reference Files*

Records pertaining to bills, prospective legislation and laws. Information includes bill and supporting material concerning proposed legislation, such as

newspaper clippings, reports and correspondence. The series also includes copies of approved legislation.

Retention

Office:	Until no longer needed for reference
College or University Archives:	Permanent

4-18. *Litigation Case Files*

Document judicial proceedings, which involve the college or university. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information. Portions of this series may be kept permanently by the Archives through the Attorney General's jurisdiction over these cases.

Retention

6 years after the case is closed

4-19. *Mailing lists*

Used to record the names and addresses of clients and other persons with whom the college or university has regular contact. Information includes mailing lists, and registers concerning employees, officials, and constituent, whom college or university staff communicate with regularly.

Retention

Until superseded

4-20. *Management Information Reports*

Provide information concerning general administration, facilities management and student enrollment. Reports concern surveys, facility inventories, student enrollment figures and projections, and other related topics.

Retention

Until superseded and no longer needed for reference

4-21. *Organization Charts*

Reflect the organizational structure of a college or university and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of an institution's departments and program areas by name and function.

Retention

Office:	Until no longer needed for reference
College or University Archives:	Permanent

4-22. *Permanent Building or Land Improvement Files*

Files concern construction of and permanent improvements to the college or university's facilities. Information includes project proposal, capital improvement requests, authorizations to execute construction contracts, cost estimates, construction contracts, related memoranda, correspondence, blueprints, and specifications.

Retention

Office:	Until no longer needed for reference
College or University Archives:	Permanent (1 copy)

4-23. *Photographs*

Photographic proofs and negatives of college or university activities. photographs may include identification according to time, place, and college or university activity.

Retention

Office:	Until no longer needed for reference
College or University Archives:	Permanent

4-24. *Property Inventories*

Itemized lists of fixed assets (except land and buildings) completed by institutions. Information includes inventories of equipment, furniture, and other similar property purchased with state funds.

Retention

3 years after superseded or updated.

4-25. *Public Relations File*

Information concerning college or university publicity. Included are press releases biographies, newspaper clippings, promotional materials, bulletins, broadcast scripts, photographs, visual documentation, and other related items.

Retention

Until no longer needed for reference

4-26. *Publications*

Printed material published by state colleges or universities for internal and external distribution. This series includes directories, manuals, research reports, surveys, and other college or university publications (except annual reports).

Retention

Office:

Until no longer needed for reference

College or University Archives:

Permanent

4-27. *Reading File*

Duplications of outgoing letters, arranged chronologically and maintained for periodic review by staff members. Information reflects routine and non-routine issues, and serves as reference for staff.

Retention

Until no longer needed for reference

4-28. *Records Disposition Files*

Files related to an institution's records management program. Included are records retention schedules, guidelines, information concerning records inventory and scheduling, records transfers, microfilm applications, disposal notices, and other related data. The record copy of this series is retained by State Archives, as scheduled

Retention

Permanent

4-29. *Speeches*

Drafts and final copies of speeches given by Administrative Services staff below the college or university president, provost, and vice presidents' level. Speeches concern program procedure, work activities, and related topics.

Retention

Until no longer needed for reference

4-30. *Surveys/Maps*

Developed by an institution to carry out its mission and function. Information concerns roads, boundaries, property lines, corners, monuments, road marker placements, structures, sites, and other related data.

Retention

Office:

Until no longer needed for reference

College or University Archives:

Permanent

4-31. *Telephone Logs*

Listings of telephone calls made by college or university personnel for a particular time period. Logs reflect date, time, caller, recipient of call, and nature of business discussed.

Retention

2 years

4-32. Telephone Bills

Provide a monthly statement of charges for telephone calls billed to a college or university. Information includes telephone number charged with call, account number, type of call, date of call, time number of minutes, destination of telephone call, and charge.

Retention

3 years

4-33. Work Order Request File

Document copies of work order requests for all program classifications of the institution. Information on the work order requests include date, site of work, service or modifications requested, estimated cost, budget code to be charged, person coordinating the work, date needed, signature of requestor, signatures of approval, date request received by plant support, estimated completion date, and date completed.

Retention

3 years

4-34. Work Reports

Reports of work activities performed by personnel carrying out regular or special duties. Series does not include published project reports or reports to the Governor or General Assembly. These documents reflect dates, person responsible for reports, and a running account of daily activities performed.

Retention

2 years or until summarized or superseded

PERSONNEL (HUMAN RESOURCES)

5-1. *Affirmative Action Plans and Progress Reports*

Affirmative Action Plans prepared by state institutions and Progress Reports used by the State Personnel Department to monitor the implementation of the plans. Affirmative Action Plans reflect college or university-projected policies, procedures, and practices to achieve the goal of a non-discriminatory employment system. Also included are statistics, analysis of the current and projected work force composition by race, sex, and comments. The semi-annual Progress Reports consist of updated employment data analysis, and comments. Also included is correspondence concerning the Affirmative Action Plans and their implementation. The record copy of this series is retained in the State Personnel Department, as scheduled.

Retention

2 years

5-2. *Dual Employment File*

Concern authorizations allowing institution employees to accept secondary employment. Information concerning dual employment authorizations, included employee' name; employers' involved; title of second occupation; date and signature of employee and supervisors.

Retention

Until no longer needed for reference

5-3. *Employer Status Reports (Unemployment Compensation)*

Reports from an individual college or university to the Department of Labor and Employment to determine the liability or non-liability of a college or university for payment of unemployment compensation. Information includes the employer status report, notice of liability sent to the college or university, notice of contribution for the next calendar year, and related memoranda and correspondence concerning changes in college or university unemployment compensation accounts and liability.

Retention

6 years

5-4. *Employment Applications (Not Hired)*

Completed employment applications and personal resumes of applicants who were not hired by a college or university. Information includes applicant's name, address, social security number, position applied for, educational background, work experience, and other related information.

Retention

2 years from the date of rejection or making of the record

5-5. *Employment Data Analysis by Sex and Race*

A statistical breakdown of information concerning employees by type, number, salary, and percentages of minority personnel. Information includes type of employees such as officials/administrators, professionals, technicians, office/clerical, service maintenance, racial classifications, total work force, and work force summary.

Retention

2 years from the date of the personnel action involved or the making of the record provided information has been forwarded to the State Personnel Department

5-6. *Equal Employment Opportunity Report*

Documents the job classification and compensation of all college or university personnel. Information includes class code, slot, name, social security number, employee number, pay rate, state/federal funding, race and sex.

Retention

2 years from the date of the personnel action involved or the making of the record provided information has been forwarded to the State Personnel Department

5-7. *Equal Employment Opportunity Reporting and Personnel Research Forms*

Forms completed by applicants for state employment as part of their employment application. Information includes statistics on job applicants which are reported annually to the State Personnel Department. The form, which is detached from the employment application, lists the applicant's name, date, social security number, date of birth, position applied for, race sex, and marital status.

Retention

2 years from the date of the personnel action involved or the making of the record provided information has been forwarded to the State Personnel Department

5-8. *Faculty Contracts (Full and Part Time)*

Document contracts between faculty members and a college or university. Contracts reflect name of instructor or professor; social security number; position; subject taught; employment dates; total number of hours; hourly rates; total contract amount and budget code; date; signatures of the instructor or professor, division chairman and academic dean.

Retention

6 years after termination of contract and until no longer needed for reference

5-9. *Job Announcements (Vacancies)*

Announcement concerning job openings in institutions. Information includes title of position, salary or grade range (merit system classification), description of job duties, closing date, and to whom applications should be directed.

Retention

2 years after position is filled or announcement is superseded or updated

5-10. *Job Classifications*

A listing of all job positions classified by the State Personnel Department.

Information includes position qualification, pay grades, and duties for positions in state service.

Retention

Until termination of position

5-11. *Leave Records*

Records of the amount of leave earned and taken by college or university employees. Information includes employee's name, type of leave (annual, sick, other), service date, social security number, amount of leave earned and charged, and leave balances for the period covered.

Retention

2 years

5-12. *Leave Slips*

Forms completed by college or university 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 employee's signature.

Retention

2 year

5-13. *Log and Summary of Occupational Injuries and Illnesses*

Record of work-related injuries, illnesses, and deaths reported to the State Risk Management Office. 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. The record copy of this series is retained in the State Risk Management Office.

Retention

5 years following the end of the calendar year to which they relate

5-14. *Personnel Administrative File*

File concerns administration of personnel policy. Information includes correspondence, reports, memoranda, and other records regarding personnel procedures.

Retention

Until superseded, updated, or no longer needed for reference

5-15. *Personnel Files (Active and Terminated)*

Personnel files of current and former employees of the college or university. Information includes employment applications, letter of recommendation, employee awards, resumes, performance appraisals, leave records, employee profile, Comptroller payroll change forms, position descriptions, insurance information, dual employment information, resignation and termination records correspondence, and other related information.

Retention

10 years after retirement or separation of employee and then destroy.

5-16. *Personnel Policies and Procedures*

Policies and procedures issued by the college or university or the State Personnel Department. Information includes employment application policy, classification and compensation plan, explanation of performance appraisal system, reduction in force procedures, grievance policies, equal employment opportunity guidelines, termination procedure, workmen's compensations plan, other procedures issued by a college or university and/or the State Personnel Department.

Retention

Office:	Until no longer needed for reference
College or University Archives:	Permanent

5-17. *Statewide Personnel Information and Reporting System Files*

Used to monitor employment, salary adjustment, performance reviews, terminations, and other personnel activity. Reports include: alphabetical listing of employees sequenced by college or university, employee name; employee roster sequenced by grade, class code, and name; temporary employment roster; gross salary change report; termination analysis, performance review; summary report; report on salary change code-merit increase; reviews report-classified positions-review sequence; vacancies report-all positions; and other related records.

Retention

Until superseded or updated

5-18. *Time and Attendance Records*

Records concerning time worked by college or university employees during a pay period. Information includes employee's name, section or organization unit, employee number, pay period, total time worked, and employee's signature.

Retention

5 years

5-19. *Vacancies File*

Documents position vacancies in a college or university. Information includes college or university's name, grade, classification title, salary range, hours worked per week, and pay rate of position.

Retention

Until superseded or updated

5-19. *Test Papers & Examination Instruments*

Records to include oral exam papers, written test papers, performance test papers, briefing materials, schedules/notices sent, scoring sheets, scoring sheets, scoring keys, conversion charts.

Retention

Until records are made part of candidate or agency personnel file, plus 2 years

PAYROLL

7-1. *Computer Output Reports from Payroll Financial Data Bases (Non-Permanent)*

Financial reports (regardless of medium) generated from a computer data base for the disbursement of resources of the institution. The reports may be generated daily, weekly, monthly, annually, or at year end closeout. They can be a regular report or a query to the data base.

Retention

Until updated, superseded, or no longer needed for reference

7-2. *Computer Output Reports from Payroll Financial Data Base (Permanent)*

Financial reports (regardless of medium) generated from a computer data base for the disbursement of resources of the institution. These are cumulative fiscal year end closeout reports summarizing the financial activities of the institution by providing final year-to-date summary accounting data and a permanent audit trail for all disbursement transactions affecting any and all funds and accounts.

Retention

Office:	3 years
College or University Archives:	Permanent

7-3. *Electronic Funds Transfer Authorizations*

Authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit. Information includes employee name, name of financial institution, copy of deposit slip, and other related information.

Retention

3 years after termination, cancellation, or change of authorization

7-4. *Employer Contribution Report*

Information includes name and address of the employer, number of persons employed during the quarter, how remittance is paid, number of places of business in Colorado covered by the report and signature, title, date of

individual filling out the report, and other documents concerning taxable and non-taxable wages of employees.

Retention

3 years

7-5. *Health, Dental, and Optional Life Insurance Reports*

Generated to reconcile the monthly health, dental, and optional life insurance bills of the agency. Information includes agency name, address, group identification number, billing period, subscriber count, premium amount (employer/employee shares), source of funds, premium due and other related information.

Retention

3 years after termination of employment or cancellation of the authorization

7-6. *Payroll Adjustment Forms*

Forms to deduct money from employee's wages. Information includes name, social security number, amount, description of deduction, payroll period beginning date and others elated information.

Retention

3 years after termination of employment or cancellation of the authorization

7-7. *Savings Bond Deductions File*

Used to record the purchase of savings bonds by employees. Information includes employee name, social security number, agency number, agency name, and amount of bond. Also included are United States Savings Bond Election Forms.

Retention

3 years

7-8. *Table Report (Payroll)*

Define the meaning of code numbers and fund groups used in transactions processed through the institutions automated financial accounting system. The specification of the reports of each institution may vary.

Retention

Office:	3 years
College or University Archives:	Permanent

7-9. *Workers' Compensation Insurance Files*

Used to document the payment of workers' compensation insurance premiums. Information includes an interdepartmental transfer for payment of premiums, and a form to the Colorado Compensation Insurance Authority or the contract Worker's Compensation Fund reflecting the total due and payment due date with attached memos.

Retention

3 years

INTERNAL AUDITING

8-1. *Internal Audit Report*

Documents the final financial, operational, and compliance audit finding for the institution or its departments. Information includes background information, subject of the audit, findings, and recommendations.

Retention

10 years and until no longer needed for reference

8-2. *Working Papers*

Used to conduct periodic financial, operational, and compliance audits of all offices. Information includes pre-audit research and planning, analysis sheet, suggestion sheets, entrance/exit conference, computer software applications, findings, recommendations, inventory of property, organizational control review, and internal control questionnaire.

Retention

3 years and until no longer needed for reference

STUDENT AFFAIRS (REGISTRAR)

9-1. *Continuing Education Student Records*

Document the registration and enrollment of students in continuing education courses. Information includes student's name, social security number, sex, ethnic background, date of birth, highest education level attained, type of work, years of employment, permanent address, courses registered for and signature of student.

Retention

Until no longer needed for reference

9-2. *Degree Applications*

Document the registration and enrollment of students in continuing education course. Information includes student's name, social security number, sex, ethnic background, date of birth, highest education level attained, type of work, years of employment, permanent address, courses registered for and signature of student.

Retention

1 year after graduation or date of last attendance

9-3. *Grade Sheet/Reports*

Used to record grades for each college or university student enrolled in a specific course at the end of each semester. The grade sheet/report reflects the following information: student number, student name, course title, semester, department, course number, section, instructor, grade and signature of the instructor.

Retention

1 year after date distributed

9-4. *Graduation Files*

Files which document the fulfillment of qualifications necessary to graduate

From one of Colorado's institutions of higher education.

Retention

Retain for 5 years after graduation and then destroy

9-5. *Identification Card Applications for Matriculated Students*

Applications for identification (I.D.) cards for students, faculty, and staff.

Retention

Retain by agency for 6 years and then destroy

9-6. *Identification Card Applications for Non-Matriculated Students*

Applications for identification cards for non-matriculated individuals participating in activities sponsored by an institution of higher education.

Retention

Retain by agency for 6 years and then destroy

9-7. *Identification Card Receipt Books*

Receipt books for monies received in payment for identification (I.D.) cards.

Retention

Retain by agency for 3 years and then destroy

9-8. *International Identification Card Applications*

Applications for identification cards for students traveling out of the country in order to receive international student benefits.

Retention

Retain by agency for 1 year and then destroy

9-9. *Monthly Receipts for Monies Received for Transcripts*

Cash register tapes collected monthly noting monies received by the sale of copies of students' transcripts.

Retention

3 years

9-10. *Official Transcripts (Graduate and Undergraduate)*

Used to record the official internal academic transcript of students attending a state college or university. These records include such information as name, identification number, major, class, course taken, grades received, dates of attendance and type of degree awarded (if any).

Retention

75 years after graduation or withdrawal

9-11. *Registration Files*

Files which document student enrollment, registration, and participation in course work and other academic activities at any of Colorado's institutions of higher education.

Retention

3 years after graduation or withdrawal

9-12. *Scholarship and Other Institutional Financial Aid Programs Files*

Documents information on scholarships and financial aid activities at the institution. Information concerning notifications to donors and specifics of financial aid includes memoranda, correspondence, requirements for financial aid recipients, summaries of scholarship and financial aid activity, and other related information.

Retention

Until no longer needed for reference

9-13. *Student Admission and Enrollment Files*

Document a student's acceptance and matriculation at a community college, state college or university. Information includes but is not limited to student applications, external transcripts from high schools, or other colleges and universities, letters of recommendation, registration forms, drop/add sheets, forms concerning removal of incomplete grades, guidelines concerning student classification, graduation check off sheets and convenience copies of student loan information.

Retention

Accepted student records:	5 years after graduation or date of last attendance
Rejected student records:	1 year

9-14. *Student Cumulative Files*

Files which document a student's activities, other than academic, while enrolled in one of Colorado's institutions of higher education.

Retention

Retain by agency for 1 year after graduation or withdrawal.

9-15. *Student Financial Aid Records*

This series is used to maintain the official university record of account for all student loans and grants. This series consists of student loan data, grant award letters, disbursement schedule, student account number, promissory note, disclosure, statement, and authorizing voucher. In addition, loan information is filed by student name and account number, under headings of current files, collection files, delinquent files, and paid in full files.

Retention

Student Loans:	
Active File:	Until loan is cancelled or repaid.
Inactive File:	5 years

Student Grants:

Accepted:

5 years after the last day of the award year or 5 years after the date the institution files its fiscal operation report for the year.

Rejected:

1 year

9-16. *Transcript Requests*

Requests for a transcript of student's permanent academic records and the record of payment received for the copy.

Retention

Retain by agency for 1 year and then destroy

9-17. *Visiting Scholars Information Files*

Files containing identifying information on scholars temporarily working at a college or university.

Retention

5 years

ACADEMIC AFFAIRS

10-1. *Administrative File/Correspondence (Academic Deans and Department Chairpersons)*

Reflects reference material and letters relevant to the administration of the various academic departments of a college or university. Information includes correspondence, memoranda, annual reports, self-studies, policy and procedure statements, organizational charts, curriculum information, personnel data and student information.

Retention

Office:	3 years
College or University Archives:	Permanent

10-2. *Meeting Minutes (Academic Deans and Department Chairpersons)*

Record concerning meetings held by academic deans and department chairpersons. Information includes names of attendees, names of persons absent, a summary of topic discussed and decisions made.

Retention

Office:	5 year
College or University Archives:	Permanent

10-3. *Photographs/Slides/Posters*

Depict activities in the various academic departments of a college or university. included are large framed photographs of individuals and groups, pictures of lecturers, group portraits of professors and students, pictorials of campus scenes, and demonstration slides for instruction.

Retention

Office:	Until no longer needed for reference
College or University Archives:	Permanent

10-4. *Thesis and Dissertation File*

The file may include the official printed or electronic copy of the dissertation or theses. Requirements for electronic versions of the signature page will be at the institution's discretion.

Retention

Office:

Until no longer needed for reference

College or University Archives:

Permanent

ATHLETIC DEPARTMENT

11-1. *Concession/Lease Agreements*

Document sale of concessions at sports events, use of college or university trademarks for the sale of memorabilia, and rentals for box seating. Information includes athletic concession agreements, revocable nonexclusive licenses to use certain indicia of the college or university, and stadium seating lease agreement.

Retention

6 years after termination of lease agreement

11-2. *Equipment Files*

Document the use of sportswear and equipment by student athletes. Information includes equipment room daily activity report, equipment rental charts, statement of lost equipment, and other related information.

Retention

4 years

11-3. *Recruiting Files*

Document the recruitment and eligibility of student athletes for participation in the athletics program as governed by applicable guidelines. Information includes official visit of prospective athlete, student-athletes' affirmation of eligibility, national letter of intent, and related forms.

Retention

4 years

11-4. *Scrapbooks*

Record publicized athletic events and sports activities at the institution. Information includes clipping from local newspapers and other media concerning athletic events at the college or university.

Retention

Office: 6 years
College or University Archives: Permanent

11-5. *Sports Information Files*

Contain information distributed to the news media concerning sports events at the institution. Information includes box scores, play-by-plays, and team statistics.

Retention

1 year or until no longer needed for reference

11-6. *Ticket Applications*

Used to process requests for season and individual game tickets to athletic events. Information includes the applicant's name, address, phone number, and number of tickets requested.

Retention

3 years

11-7. *Ticket Records*

Document the control of ticket operations and distribution of tickets for athletic events. Information includes sale of tickets, allocation of tickets, allocations for "away" games, stadium attendance, and related records.

Retention

3 years

11-8. *Training Room Medical Records (Active and Inactive)*

Created by physicians and training room staff to monitor student athletes' medical histories during their association with the college or university athletic program. Information includes medical histories, injury complaints, drug testing, and other related data.

Retention

Active files:

Until student graduate or withdraws
from the college or university

Inactive file:

7 years from date of last contact

INSTITUTIONAL DEVELOPMENT AND RESEARCH

12-1. *Appropriation Request File*

Documents information compiled by a college or university's staff to provide the basis for the institution's budget request. State appropriation requests for public institutions of higher learning are based on a formula developed by the Commission on Higher Education and the Joint Budget committee (JBC). Information concerning this appropriations formula includes utility expenditure summaries, enrollment reports, research and public service program assessments, financial data for staff and faculty salaries, library and facility needs, and other information which serves as a basis for the institution's appropriations request.

Retention

3 years

12-2. *Foundation Files*

Document the administration of college or university foundations files may include correspondence, reports, proposals, accounting and financial information, surveys, justifications, an other related information.

Retention

Office:	5 years
College or University Archives:	Permanent

12-3. *Gift Files*

Document the funding of financial gifts to the college or university and the administration of these funds. Included in this series are financial records, correspondence, memoranda, reports, special stipulations or provisions, and other related information.

Retention

Office:	5 years
College or University Archives:	Permanent

12-4. *Project Grant Awards and Contracts*

Document grants and contracts awarded to faculty, staff and graduate assistants for sponsored projects. Information includes name of project, award notification, contract number, and other related information.

Retention

6 years after expiration of grant funding period or termination of contract and until no longer needed for reference

LIBRARY SERVICES

13-1. *Book/Publication Disposal Record*

Used to record the sale, transfer, or disposal of outdated, obsolete materials and books. Information includes title, call number, author, date, how disposed of.

Retention

3 years

13-2. *Interlibrary Loan Request Records (Processed and Unprocessed)*

Used to record successfully processed interlibrary loan requests and loan requests the staff was unable to process. Information includes patron's name, identification, requested information, and whether the materials or books are available. This series also documents interlibrary loan transactions for patrons of other libraries that use the institution's library system.

Retention

Records for processed requests:	3 years
Records for unprocessed requests:	1 year

13-3. *Library Fines and Fees*

Documents money received for library fines, library computer information searches, lost books, and interlibrary loan request. Information includes amount of money received, what the money was received for, date, and signature of person receiving fine.

Retention

3 years

13-4. *Manual and On-Line Library Card Catalog (Books, Periodicals, and Other Publications)*

Used as a finding aid to the library holding. Information includes name of author, title, subject, publisher, publication date, and call number.

Retention

Until updated or no longer needed for reference

13-5. *Newspaper and Manuscript Collection*

A collection of documents concerning the state or communities' heritage or culture. Included are Bible records, wills, diaries, letters, photographs, maps newspapers and other related items.

Retention

Permanent

13-6. *Photo Duplication Request Forms*

Created to document photocopy requests. Forms reflect information concerning copyright restrictions, author, book title, manuscript box and folder number, items to be copies, duplication costs, and patron's signature.

Retention

3 years

13-7. *Request Cards*

Document patrons' requests for information on holdings. Information includes call number, collection number, title, location, number of items used, researcher's name, and date.

Retention

3 years

STUDENT HEALTH

14-1. *Student Medical Records*

Created by physicians and/or nursing staff to monitor student medical histories during their enrollment with the college or university. Information includes medical histories, injury reports, testing results and other related data.

Retention

7 years from the date of last contact with the student.

14-2. *Physician Appointment Schedules/Books*

Log book of appointments requested by students to see college or university medical staff. Record may show student's name, ID number, date, time of appointment and reason for appointment.

Retention

3 years

14-3. *Student Health Services Telephone Log*

Record of calls received from students requesting medical services. Information may indicate date of call, time, identity of person receiving call, nature of request and comments, if applicable.

Retention

3 years

14-4. *Student Health Census*

Record identifying the current enrolled students by name and ID number.

Retention

Retain only the current term

RECORDS MANAGEMENT MANUAL

STATE GOVERNMENT AGENCIES

SCHEDULE NO. 9

MOTOR POOL MAINTENANCE AND OPERATIONS RECORDS

9-1. Automobile Titles

Records are proof of state ownership of the vehicle

Retention

Record copy: Retain until vehicle is sold and then transfer to buyer.

Duplicate copies: Retain until vehicle is sold and then destroy.

9-2. Certificates of Mileage

Certificates issued by the dealer/manufacture certifying the mileage is accurate on each vehicle purchased by the state.

Retention

Record copy: Retain by Motor Pool Office for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

9-3. Fuel Sales Tickets

Hard copies and electronic documentation of sales tickets filed in support of paid vouchers for credit card purchases of fuel.

Retention

Record copy: Retain by State Fleet for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

9-4. Insurance Adjuster's Estimates

Adjuster's reports on vehicle repair estimates following an accident.

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

9-5. Manufacturer's Statement of Origins

Verification by the manufacturer of the vehicle's manufactured origin.

Retention

Record copy: Retain by Motor Pool for life of vehicle and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

9-6. Motor Pool Cost Files

Motor pool vehicle ledgers and work sheets providing cost and expense data.

Retention

Record copy: Retain by Motor Pool for 5 years or life of the vehicle, whichever is longer, and then destroy.

RECORDS MANAGEMENT MANUAL

STATE GOVERNMENT AGENCIES

Duplicate copies: Retain for 1 year and then destroy.

9-7. Motor Pool Public Employee Operational Files

Records relating to individual employee operations of government-owned vehicles, including driver tests, rental authorizations, safe driving awards, and correspondence.

Retention

Record copy: Retain by Motor Pool for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

9-8. Motor Pool Release Files

Records relating to the transfer, sale, donation, or exchange of state vehicles.

Retention

Record copy: Retain by Motor Pool for 3 years after vehicle leaves custody and then destroy.

Duplicate copies: Retain by agency for 1 year after vehicle leaves agency custody and then destroy.

9-9. Motor Pool Vehicle Maintenance Files

Maintenance records, including those relating to service and of state vehicles.

Retention

Record copy: Retain by Motor Pool until obsolete (usually for the lifetime of the vehicle) and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

9-10. Motor Pool Vehicle Trip Logs

Logs completed to monitor mileage traveled in state vehicles. Information includes name of agency, driver's name, beginning and ending odometer reading, and comments concerning problems with the vehicle.

Retention

Record copy: Retain by Motor Pool for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

9-11. Vehicle Registration Certificates

Copies of legal registrations required by law to be maintained with each car.

Retention

Record copy: Retain by Motor Pool Office until vehicle is sold and then transfer to buyer.

Duplicate copies: Retain until vehicle is sold and then destroy.

9-12. Vehicle Repair Work Order

Requests to perform maintenance on a vehicle and the actual work performed.

Retention

Record copy: Retain by Motor Pool Office for the life of the vehicle and then destroy.

Duplicate copies: Retain by agency for 6 months and then destroy.

9-13. Automated Fuel Pump Logs

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Documentation that identifies vehicle ID number, driver validations, odometer reading, date, pump used and fuel dispensed.

Retention

Record copy: Retain by Motor Pool for 3 years and then destroy. These may be electronic or manual formats

9-14. Vehicle Scheduling Logs and Reports

Record of vehicle assignments and type, agency, driver name, destination, date and time track, etc.

Retention

Record copy: Retain by Motor Pool for 3 years and then Destroy. These may be electronic or manual formats

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SCHEDULE NO. 10

PAYROLL RECORDS

10-1. Administrative Payroll Reports

Reports and statistics with supporting and related records pertaining to workload and personnel management, payroll operations and administration.

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

10-2. Budget Authorization Reference

Copies of budget authorizations in operating payroll units used to control personnel ceilings and personnel actions.

Retention

Record copy: Retain by agency until superseded and then destroy.

Duplicate copies: Retain until superseded and then destroy.

10-3. Deduction and Other Earning Registers

Report by low organization number used to reference the amount of retirement deducted and other miscellaneous deductions.

Retention

Record copy: Retain by the State Controller's Office for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

10-4. Electronic Funds Transfer (EFT) Authorizations

Authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit. Information includes employee name, name of financial institutions, copy of deposit slip, and other related information.

Retention

Record copy: Retain for 3 years after termination, cancellation, or change of authorization.

Duplicate copies: Retain until administrative needs are met and then destroy.

10-5. Employee Benefit Matching Money Report

Listing of state matching funds paid to employee retirement.

Retention

Record copy: Retain by the State Controller's Office for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

10-6. Final Time Summary Report

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This report provides information on the regular and overtime hours paid. It also includes all other earning and the labor distribution.

Retention

Record copy: Retain by the State Controller's Office for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

10-7. Full-Time Employee Report

Report which informs users of the full-time equivalent count for each agency.

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

10-8. Garnishments

Record of garnishments or levies for debts owned by the employee.

Retention

Record copy: Retain by the payroll office for 3 years after end of garnishment and then destroy.

Duplicate copies: Retain until end of garnishment and then destroy.

10-9. Income Tax Exemptions and Withholdings Certificates

Form which records the number of exemptions and employee claims against his payment of income tax and any additional withholding from his paycheck, such as IRS Form W-4 and similar tax exemption forms.

Retention

Record copy: Retain by payroll office for 4 years after form is superseded or until termination of employee and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

10-10. Insurance Deduction Files

Reports and related papers including copies of vouchers and schedules of payment pertaining to insurance deductions.

Retention

Record copy: Retain by the State Controller's Office for 3 years after separation of employee and then destroy.

Duplicate copies: Retain until separation of employee and then destroy.

10-11. Leave Adjustment Reports

Shows all leave adjustments made during a pay period. Shows category of adjustment, the amount, social security number and employee name.

Retention

Record copy: Retain by the State Controller's Office for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

10-12. Leave Applications

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Applications for leave and supporting papers relating to request for and approval of employee leave.

Retention

Record copy: Retain by agency as part of the leave record for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

10-13. Leave Category Changes

Report showing changes made if an employee does not have enough leave and payroll program must make adjustments from another category.

Retention

Record copy: Retain by the State Controller's Office for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

10-14. Leave Summary Report

Reports which document the kind and amount of leave taken by an employee during a calendar year. After they are signed by the employee, they are maintained in the official personnel file.

Retention

Record copy: Retain until report is made part of official agency personnel file.

Duplicate copies: Retain until administrative need ends and then destroy.

10-15. Notices of Payroll Action

Notices which document all payroll actions entered into the Department of Personnel CPPS automated system.

Retention

Record copy: Retain by agency until notices are made part of official agency personnel file.

Duplicate copies: Retain for 1 year and then destroy.

10-16. Payroll Register

Display of earnings, deductions, taxes, net income, and warrant or direct deposit information. These documents are prepared and used for payroll disbursement.

Retention

Record copy: Permanent: Retain by the State Controller's Office for 4 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 1 year and then destroy.

10-17. Preliminary Payroll Files

Computer-produced, two part documents sent by Division of Accounts and Control to agencies to record final corrections or adjustments regarding employees' pay. They are made before the master payroll file is run and checks are issued. Preliminary payroll files do not serve as time and attendance records.

Retention

Record copy: Retain by State Controller's Office for 1 year or until administrative need ends and then destroy.

Duplicate copies: Retain by agency for 3 months and then destroy.

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10-18. Retirement Benefits Assistance Files

Correspondence, memoranda, annuity estimates, and other records used to assist retiring employees or survivors in claiming insurance or retirement benefits.

Retention

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

10-19. Retirement Files

Reports and register control documents relating to retirement.

Retention

Record copy: Retain by payroll office for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

10-20. Savings Bond Purchase Files

Forms and reports with related records pertaining to deposits and purchase of bonds.

Retention

Record copy: Retain by the payroll office for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

10-21. Savings Bond Purchase Summary

List of all bond purchases and the remaining bond balances.

Retention

Record copy: Retain by the payroll office until administrative need ends and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

10-22. Taxable Wage Earning Reports

Returns on income taxes such as IRS Form W-2 and reports of withheld federal taxes, such as IRS Form W-3, with related records, including reports relating to income and social security taxes.

Retention

Record copy: Retain by the State Controller's Office or agency administrative section for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

10-23. Time and Attendance Reports

State employee time sheets, including flextime attendance reports, supplemental time and attendance records, such as sign-in/sign-out sheets and work reports that are used for time accounting under flextime systems.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

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10-24. Wage Survey Files

Wage survey reports and data, working papers and related correspondence pertaining to area wages paid for each employee class; background papers establishing need, authorization, direction, and analysis of wage surveys; development and implementation of wage schedules; and requests for and authorization of specific rates (excluding authorized wage schedules and wage survey recapitulation sheets).

Retention

Record copy: Retain by the Department of Personnel until after completion of second succeeding wage survey and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

10-25. Workers' Compensation Insurance Files

Used to document the payment of workers' compensation insurance premiums. Information includes interdepartmental transfer for payment of premiums and a form to the Colorado Compensation Insurance Authority (CCIA) or the Division of Risk Management reflecting the total due and payment due date with attached memos.

Retention

Record copy: Maintain by CCIA agency Risk Management section or workmen's compensation insurance carrier.

Duplicate copies: Retain until administrative need is met and then destroy.

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SCHEDULE NO. 11

PERSONNEL RECORDS

11-1. 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.

Retention

Record copy: Retain by agency for 6 years after case is closed and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

11-2. 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 (retain last 3 years), 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.

Retention

Record copy: Transfer to Department of Personnel and microfilm or scan. Retain for 10 years after retirement or separation of employee and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

11-3. 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.

Retention

Record copy: Retain by agency for 5 years after separation and then destroy.

Duplicate copies: Retain by agency for 5 year after separation and then destroy.

11-4. Answers and Score Sheets

Tests taken by applicants who have met the minimum qualifications for a state position.

Retention

Record copy: Retain as part of agency personnel file for 5 years.

Duplicate copies: Retain by agency until no longer needed and then destroy.

11-5. 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.

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Retention

Record copy: Retain as part of agency personnel file for 4 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

11-6. 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.

Retention

Record copy: Retain for 5 years as part of agency personnel file or until superseded and then destroy.

Duplicate copies: Retain until superseded and then destroy.

11-7. 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.

Retention

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until no longer needed and then destroy.

11-8. Employee Assistance Files (C-SEAP)

Files which document employees who have sought assistance for personal problems which could interfere with job performance.

Retention

Record copy: Retain by agency for 3 years after case is closed and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-9. 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.

Retention

Record copy: Retain as part of agency personnel file for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-10. Employee Record Cards (Cardex)

Employee cards used for information purposes outside personnel offices.

Retention

Record copy: Retain by agency until separation or transfer of employee and then destroy.

Duplicate copies: Retain by agency until separation or transfer of employee and then destroy.

11-11. Employee Training Records

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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.

Retention

Record copy: Retain as part of agency personnel file.

Duplicate copies: Retain until administrative need ends and then destroy.

11-12. 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.

Retention

Record copy: Retain by agency personnel office for 2 years from the date of rejection or making of the record and then destroy.

Duplicate copies: Retain for 6 months and then destroy.

11-13. 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 feeder plans which are used to develop a larger affirmative action strategy.

Retention

Record copy: Permanent. Retain by Department of Personnel and then transfer to the State Archives.

Duplicate copies: Retain for 2 years and then destroy.

11-14. Equal Employment Opportunity Compliance Review Files

Review files containing background papers, etc., relating to contractor employment practices.

Retention

Record copy: Retain by agency for 7 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

11-15. Equal Employment Opportunity Discrimination Complaint Case Files

Official complaint files containing complaints, related correspondence, reports, exhibits, withdrawal notices, copies of decisions, and other records.

Retention

Record copy: Retain by agency for 4 years after resolution of case and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

11-16. Equal Employment Opportunity Statistics Files

Employment statistics relating to race and sex.

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Retention

Record copy: Retain by Department of Personnel for 10 years and then destroy.

Duplicate copies: Retain by agency for 2 years and then destroy.

11-17. Employees Performance Appraisals

Appraisals of performance, along with job elements and standards (job expectations) upon which they are based, and supporting documentation.

Retention

Record copy: Retain as part of agency personnel file.

Duplicate copies: Retain by agency until superseded and then destroy.

11-18. Financial Disclosure Reports (SES)

Reports and related documents submitted by individuals as required by their agency.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-19. 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.

Retention

Record copy: Retain by agency for 3 years after case is closed and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

11-20. Incentive Awards Program Reports

Reports pertaining to the operation of the incentive awards program.

Retention

Record copy: Retain by agency for 1 year and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-21. 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

Retention

Record copy: Retain by agency for 6 years and then destroy.

Duplicate copies: Retain by agency for 2 years and then destroy.

11-22. Interview Records

Correspondence, reports, notes, and other records relating to interviews with prospective employees.

Retention

Record copy: Retain by agency for 6 months after hiring decision is made and then destroy.

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Duplicate copies: Retain until administrative need ends and then destroy.

11-23. 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.

Retention

Record copy: Retain by agency for 2 years after position is filled or announcement is superseded or updated and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

11-24. 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

Retention

Record copy: Retain by agency until termination of position and then destroy.

Duplicate copy: Retain until administrative need ends and then destroy.

11-25. Job Swap or Career Mobility Files

Case files of a state employee applying to change positions with another employee in the state work force.

Retention

Record copy: Retain as part of agency personnel file.

Duplicate copies: Retain for 3 years and then destroy.

11-26. 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.

Retention

Record copy: Retain by agency for 5 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

11-27. 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.

Retention

Record copy: Retain by agency personnel office from the date the sick leave cap was established.

Duplicate copies: Retain until administrative need ends and then destroy.

11-28. Leave Slips

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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.

Retention

Record copy: Retain by agency as part of the leave record for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

11-29. 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)

Retention

Record copy: Retain by agency as part of personnel file.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-30. Letters of Employee Commendation

Letters of employee commendations and appreciation, recognizing length of service, retirement, or performance.

Retention

Record copy: Retain as part of agency personnel file.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-31. 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.

Retention

Record copy: Retained by the Colorado Compensation Insurance Authority, Risk Management or workmen compensation insurance carrier.

Duplicate copies: Retain by agency for 5 years and then destroy.

11-32. 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.

Retention

Record copy: Retain by agency as part of personnel file.

Duplicate copies: Retain for 1 year and then destroy.

11-33. 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.

Retention

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Record copy: Retain by agency as part of personnel file for 2 years after the personnel action or until the action has been audited by the Department of Personnel, whichever is first, and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

11-34. 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.

Retention

Record copy: Retain by agency as part of personnel file until decision is made to take no further action and then destroy.
Duplicate copies: Retain for 3 years and then destroy.

11-35. 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.

Retention

Record copy: Retain by agency for 5 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

11-36. Personnel Operations Statistical Reports

These are statistical reports used to set the standards for the operation of a personnel office or subordinate personnel office.

Retention

Record copy: Permanent. Retain by Department of Personnel for 5 years and then transfer to State Archives.
Duplicate copies: Retain by agency for 1 year and then destroy.

11-37. Personnel Rules

Files which outlines policies and procedures to be followed in the Department of Personnel and throughout state government.

Retention

Record copy: Permanent. Retain by Department of Personnel until superseded and then transfer to State Archives.
Duplicate copies: Retain by agency until superseded and then destroy.

11-38. Position Change Requests and Authorizations

Documents used to create new positions, abolish old ones and change existing state employee positions.

Retention

Record copy: Retain by agency personnel office for 4 years and then destroy.
Duplicate copies: Retain by agency for 3 years and then destroy.

11-39. Position Classification Appeal Files

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Case files relating to classification appeals.

Retention

Record copy: Permanent. Retain by Department of Personnel for 3 years after case is closed and then transfer to State Archives.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-40. Position Classification Inspection and Audit Files

Correspondence, memoranda, reports, and other records relating to inspections, desk audits and evaluations of position classifications.

Retention

Record copy: Retain by Department of Personnel for 4 years and then destroy.

Duplicate copies: Retain until obsolete or superseded and then destroy.

11-41. 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.

Retention

Record copy: Retain by Department of Personnel until superseded and then destroy.

Duplicate copies: Retain until superseded and then destroy.

11-42. Position Classification Survey Studies

Survey reports on various positions prepared by classification specialists, including periodic reports.

Retention

Record copy: Retain by Department of Personnel for 4 years and then destroy.

Duplicate copies: Retain for 2 years and then destroy.

11-43. Position Descriptions (PDQ)

Files describing established positions including information on title, series, grade, duties, and responsibilities. Also contains Position Description Questionnaire.

Retention

Record copy: Retain by agency personnel office for 4 years or until revised and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

11-44. 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.

Retention

Record copy: Retain by agency for 6 months after hiring decision is made and then destroy.

Duplicate copies: Retain for 1 months after hiring decision is made and then destroy.

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11-45. Requests for Approval of Overtime

Requests for approval, which is required by the Department of Personnel and Fair Labor Standards, for overtime compensation.

Retention

Record copy: Retain for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

11-46. Salary Survey

Survey reports on various positions prepared by classification specialists. It compare salary ranges, benefits, education and experience required.

Retention

Record copy: Retain by Department of Personnel for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

11-47. Standards of Conduct Files

Correspondence, memoranda, and other records relating to codes of ethics and standards of conduct.

Retention

Record copy: Permanent.

Duplicate copies: Retain for 3 years and then destroy.

11-48. 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.

Retention

Record copy: Retain by agency personnel office for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

11-49. Training Aids

One copy of each syllabus, manual, textbook, and any other training materials created by the agency.

Retention

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

11-50. 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.

Retention

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

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11-51. Training Contracts

Contracts between state agencies and the Department of Personnel to administer agreed upon training programs.

Retention

Record copy: Retain by Department of Personnel for 3 years after the end of contract and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

11-52. Verification of Employment Eligibility (I-9)

Employment documentation required to comply with the Immigration Reform and Control Act, as amended.

Retention

Record copy: Retain 3 years after termination.

Duplicate copies: Retain for 1 year after termination and then destroy.

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SCHEDULE NO. 12

PRINTING RECORDS

12-1. Control Files

Control registers pertaining to requisitions and work orders for printing, binding and duplicating services.

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

12-2. Plate, Negatives, and Art Work Files

Basic information and materials used to produce a printing request.

Retention

Record copy: Retain until administrative need ends and then destroy or return to customer.

Duplicate copies: Retain until administrative need ends and then destroy.

12-3. Printing Project Files

Job or project records containing papers and data pertaining to planning and execution of printing, binding, duplication, and distribution jobs.

Retention

Record copy: Retain by agency for 2 years and then destroy.

Duplicate copies: Retain by agency for 1 year after completion of job and then destroy.

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SCHEDULE NO. 13

****Deleted Section**** (Purchasing Records now covered under Schedule 7)

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SCHEDULE 14

PROPERTY RECORDS

14-1. Declaration of Surplus Property

Form required by the Surplus Property Agency indicates what property and agency wishes to surplus.

Retention

Record copy: Retain by agency for 3 years after final disposition of property and then destroy.

Duplicate copies: Retain until property is sold or destroyed and then destroy.

14-2. Property Disposal Case Files

Case files on the disposal of real and related personal surplus property.

Retention

Record copy: Retain for 3 years and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

14-3. Real Property Sale Files

Records necessary or convenient for the use of real property sold, donated, or traded to non-state ownership.

Retention

Record copy: Permanent. Retain by agency for 6 years after a deed of sale is recorded and then transfer to State Archives.

Duplicate copies: Retain until administrative ends and then destroy.

14-4. Surplus Property Case Files

Case files on sales of surplus personal property (including those transactions deviating from standard procedures), comprising of invitations, bid acceptances, lists of materials, evidence of sales, and related correspondence.

Retention

Record copy: Retain for 3 years and then destroy.

Duplicate copies: Retain for 2 years or until administrative need ends and then destroy.

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SCHEDULE 15

PUBLIC AFFAIRS RECORDS

15-1. Agency Commendation Files

Letters of commendation received by agency which impart important information or observations about agency programs or operations, but which do not belong in and individual's personnel file.

Retention

Record copy: Permanent.

Duplicate copies: Retain until administrative need ends and then destroy.

15-2. Complaint/Informant Files

Whistle-blower, fraud and criminal complaints. Includes anonymous letters, complaints, criticism and suggestions, and agency replies thereto. Also includes those complaints which were the basis of and investigation or from which administrative action was taken, and those incorporated into individual personnel files.

Retention

Record copy: Retain by agency for 7 years after final resolution and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

15-3. Indexes and Check Lists

Bibliographies, check lists, and indexes of agency publications and new releases, except those used as indexes to public relations files.

Retention

Record copy: Retain until superseded or obsolete and then destroy.

Duplicate copies: Retain until superseded or obsolete and then destroy.

15-4. Information Project Files

Informational services project case files maintained in formally designated information offices.

Retention

Record copy: Retain for 1 year after close of file or completion of project and then destroy.

Duplicate copies: Retain until administrative need ends and then destroy.

15-5. Press Releases

A copy of prepared statements or announcements issued for distribution to the news media. A press release may be a textual record or a non-textual record such as a film, video sound recording or e-mail

Retention

Record copy: Permanent. Retain by agency for 5 years and then transfer to State Archives.

Duplicate copies: Retain for 5 years and then destroy.

15-6. Press Service Files

Press service teletype or electronic news and similar materials.

Retention

Record copy: Retain by agency for 3 months and then destroy.

Duplicate copies: Retain for 3 months and then destroy.

15-7. Public Relations Files

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Speeches, addresses, and comments. Remarks made at formal ceremonies and during interviews by heads of agencies or their senior assistants concerning the programs of their agencies. The format selected may be paper, video tape, motion picture film, digital, electronic media, etc.

Retention

Record copy: Permanent. Retain by agency for 7 years and then transfer to State Archives.

Duplicate copies: Retain by agency for 10 years and then destroy.

15-8. Open Records Requests and Supporting Documentation (CORA)

Formal requests for records submitted in accordance with state law and supporting documentation relating to the state agency response to or denial of the request.

Retention

Record copy: Retain 2 years after requests is answered.

Duplicate copies: Retain until administrative need ends and then destroy.

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SCHEDULE 16

SECURITY SERVICES RECORDS

16-1. Departmental Recovery Reports

Agency reports of operation tests, consisting of consolidated or comprehensive reports reflecting agency-wide results of tests conducted under emergency plans.

Retention

Record copy: Retain for 5 years and then destroy.

Duplicate copies: Retain for 3 years and then destroy.

16-2. Disaster Planning Files

Files used to prepare statewide plans for action to address and emergency, e.g.: fire, flood, earthquake and other disasters.

Retention

Record copy: Permanent.

Duplicate copies: Retain until superseded and then destroy.

16-3. Guard Assignment Files

Files relating to guard assignments. Includes ledger records or requests, analyses, reports, change notices, and other papers relating to post assignments.

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

16-4. Guard Service Control Files

Control center key or code records, emergency call cards, building record, and employee identification cards.

Retention

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain by agency until superseded or obsolete and then destroy.

16-5. Guard Service Reports

Round reports, facility checks, service reports on interruptions and tests, punch clock dial sheets, automatic machine patrol charts, and registers of patrol and alarm services.

Retention

Record copy: Retain by agency for 3 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

16-6. Insurance Reports

Reports used for the reference and generation of claims files.

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Retention

Record copy: Retain by Risk Management Office for 12 years and then destroy.

Duplicate copies: Retain for 1 year and then destroy.

16-7. Key Accountability Files

Files relating to accountability for keys issued, including keys to maximum security areas.

Retention

Record copy: Retain by agency for 3 years after superseded and then destroy.

Duplicate copies: Retain until superseded and then destroy.

16-8. Liability Insurance Policy Files

Insurance policy contracts between the State of Colorado and private insurers.

Retention

Record copy: Retain by the Risk Management Office for 6 years after the contract expires then destroy.

Duplicate copies: Retain by agency for 1 year and then destroy.

16-9. Liability Risk Management Case Files

Case files of the reporting, investigation, and settlement of liability claims filed against the state, colleges and universities.

Retention

Record copy: Retain by Risk Management Office for 10 years and then destroy.

Duplicate copies: Retain by agency for 5 years and then destroy.

16-10. Loss Control Inspection Reports

An annual self-inspection report used to identify potential hazards within the building or on the agency property. If the agency completes this report, it may receive a 15% discount on its insurance premium after a follow-up survey has been conducted. This records may also be used as evidence in defense of a claim.

Retention

Record copy: Retain by Risk Management Office for 12 years and then destroy.

Duplicate copies: Retain until superseded and then destroy.

16-11. Personnel Security Clearance Status Files

Lists of rosters showing the current security clearance status of individuals.

Retention

Record copy: Retain by agency until superseded or obsolete and then destroy.

Duplicate copies: Retain by agency until superseded or obsolete and then destroy.

16-12. Property Insurance Policy Files

Insurance policy contracts between the State of Colorado and private insurers.

Retention

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Record copy: Retain by Risk Management Office for 6 years after the contract and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

16-13. Security Logs and Registers - Individual Guard Posts

Individual guard post logs of occurrences.
Retention Record copy: Retain by agency for 3 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

16-14. Security Logs and Registers - Master Office

Central guard logs which are compiled from individual guard post logs of occurrences.

Retention
Record copy: Retain by agency for 5 years and then destroy.
Duplicate copies: Retain for 3 years and then destroy.

16-15. Visitor Control Files

Registers or logs used to record names of outside contractors, service personnel, visitors, and employees admitted to areas, and reports of passengers in State automobiles.

Retention
Record copy: Retain by agency for 3 years and then destroy.
Duplicate copies: Retain for 1 year and then destroy.

16-16. Visitor Control Files for Areas of Maximum Security

Registers or logs used to record names of visitors who are admitted to areas of maximum security.
Retention
Record copy: Retain by agency for 5 years and then destroy.
Duplicate copies: Retain by agency for 3 years and then destroy.

16-17. Recordings and Images Related to Security – Public Areas

Video or audio recordings, biometric data or images from security or surveillance cameras, scanning systems or audio recording systems in public areas of state buildings or grounds. Security setups vary and recordings may be continuous, stop-frame or random use. Recordings or images may capture date and time indexing information

Retention
Record copy: 30 Days.
Duplicate copies: Retain until no longer needed.

**COLORADO STATE ARCHIVES
RECORDS MANAGEMENT MANUAL - STATE GOVERNMENT AGENCIES
SCHEDULE 17 - DISTRICT ATTORNEY RECORDS**

The following schedule of destruction of records is approved for records of the office of the District Attorneys of the State of Colorado. Records may be maintained for a period longer than those set forth herein. The times stated are minimum times for maintaining records.

Records that are maintained by electronic images are considered "originals." Such electronic images must be maintained with backup if on hard disk. If copied to disk, there must be two sets of the disks, one of which is to be maintained off the premises of the offices of the District Attorney. The disks used must be the highest quality disks for long-term storage and at least every ten years must be re-copied to new disks on the current technology of storage disks or other electronic medium.

Once stored electronically, and appropriate copies made, the paper originals may be destroyed.

ITEM	TIME
1. CORRESPONDENCE & GENERAL DOCUMENTATION	
a. Policy, fiscal, legal	PERMANENT
b. Historical or research of enduring (Documents that reflect the history of policy or is of public interest concerning the methods of office operations.)	PERMANENT
c. General Correspondence (Letters, notes, memorandums having no policy impact or are related to the day to day operation of the office.)	ONE YEAR
d. Routine (Contains no administrative, legal, fiscal, historical, information or statistical value; operating documentation shall be retained until legal and fiscal responsibility and administrative necessity is discharged.)	ONE YEAR
e. Financial Records	7 YEARS + CURRENT
2. POLICIES AND PROCEDURES	PERMANENT
3. PERSONNEL FILES	
a. Full Time Employees	PERMANENT
b. Part Time Employees (after separation)	THREE YEARS
c. Interns, Volunteers (after separation)	ONE YEAR

4.	LANDMARK CASE FILES INITIATED IN THE DISTRICT ATTORNEY'S OFFICE FOR INVESTIGATION THAT RESULT IN COURT FILING. (A. "landmark" case is one of historical Interest as precedent setting, novel, significantly news worthy.,)	PERMANENT
5.	GRAND JURY FILES, INCLUDING BUT NOT LIMITED TO: a. Names of Panel Members b. Jury Instructions c. All case investigation files not filed with the court	PERMANENT
6.	MINUTES OF VALE AND VICTIM COMPENSATION BOARDS a. Correspondence b. Financial Records	PERMANENT 1 YEAR + current 7 YEARS + current
7.	APPLICATIONS FOR EMPLOYMENT AND SUPPORTING DOCUMENTATION (For Persons not hired) a. Interviewed b. Not interviewed	2 YEARS from date of making the record or the personnel action involved, whichever occurs later. 6 MONTHS
8.	CASE FILES a. TRAFFIC b. DUI and MISDEMEANORS c. FELONIES (not of landmark interest) d. JUVENILE CASES (1) NOT STATUTORILY QUALIFIED FOR MAINTAINING AN OPEN FILE PURSUANT TO 19-1-304 (b.5)	6 MONTHS after case closure 1 YEAR after case closure 2 YEARS after case closure 2 YEARS after completion of a commitment to diversion or other sentence.

(2) STATUTORILY QUALIFIED FOR MAINTAINING AN OPEN FILE PURSUANT TO 19-1-304 (b.5) or A SEXUAL OFFENDER OR A CRIME OF VIOLENCE 19-1-304 (5)	7 YEARS from date termination from the courts jurisdiction. (NOTE: There are statutory limitations on public access and rules on expungement.)
e. Case files of District Attorney's Office where investigations are initiated with the office and "No Action" filed.	1 YEAR after "No Action" closure or until administrative necessity expires.
f. NON-SUPPORT	6 MONTHS after closure
g. Cases from other law enforcement agencies reviewed by District Attorney and no criminal action filed.	6 MONTHS after no action decision
9. ADULT DIVERSION RECORDS	1 YEAR after successful completion
10. INVESTIGATION RECORDS INITIATED BY THE OFFICE OF THE DISTRICT ATTORNEY RESULTING IN CHARGES BEING FILED	PERMANENT