

# RECORDS MANAGEMENT MANUAL

## STATE GOVERNMENT AGENCIES

### SCHEDULE NO. 1

#### ADMINISTRATIVE RECORDS

The following records retention schedule will apply to the record copy, regardless of how it is stored (electronic, microfilm, digital image, paper, audio or video recording, etc.). If the record copy of a permanent record is stored in electronic format, carefully determine that the storage system is nonproprietary and that there is a capability to migrate these records to the next generation of technology. **Duplicate Copies:** Unless otherwise stated, retain duplicate copies until no longer needed, but no longer than the record copy.

**NO RECORD SHALL BE DESTROYED UNDER THIS SCHEDULE AUTHORITY SO LONG AS IT PERTAINS TO ANY PENDING LEGAL CASE, CLAIM, ACTION OR AUDIT.**

#### 1-1. Agency History Records

Documentation of the organization and re-organization of an agency. Information includes history, organizational files, charts documenting major structural changes, and related information. Records may consist of scrapbooks, photographs, audio, or audio-visual narratives.

##### Retention

Permanent. Retain for ten years and then consult with State Archivist regarding transfer to State Archives.

#### 1-2. Audit Reports

##### 1-2A. Department Audit Reports

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

##### Retention

Record copy: Permanent. Retained by State Auditor's Office.

Agency Copy: Retain until next audit is completed and released.

##### 1-2B. Internal Audit Reports

##### Retention

10 years from the date of issuance of the report.

#### 1-3. Boards, Commissions, Committees

Records Created by a State Public Body as defined in CRS 24-6-402(1)(d)(I)... "any board, committee, commission, or other advisory, policy-making, rule-making, decision-making, or formally constituted body of any state agency, state authority, governing board of a state institution of higher education ... of Colorado, or the general assembly, and any public or private entity to which the state, or an official thereof, has delegated a governmental decision-making function..."

##### 1-3A. Appointments

Records of appointments and resignations, including applications, recruitment information, etc.

# RECORDS MANAGEMENT MANUAL

## STATE GOVERNMENT AGENCIES

### SCHEDULE NO. 1

#### ADMINISTRATIVE RECORDS

##### **Appointed Applicants**

Retention  
2 years after end of service.

##### **Unsuccessful Applicants**

Retention  
2 years after conclusion of appointment process.

#### **1-3B. Committees**

##### **Committee and Conference Files**

Records created by a committee or conference which has been formed by the General Assembly or Governor, including advisory committees 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  
Permanent. Retain for ten years, and then consult with State Archivist regarding transfer to State Archives. [See also Item #1-3C, Minutes and Supporting Documentation].

##### **Internal Committee and Conference Files**

Records of official proceedings of the public body. Information includes minutes, 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, surveys, proposals, studies and charts distributed to members for discussion and for use in making decisions on institution policy, planning and administrative matters.

Retention  
2 years after termination of committee.

#### **1-3C. Minutes and Supporting Documentation**

##### **Open Meeting Minutes and Supporting Documentation**

Records of official proceedings of the public 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, surveys, proposals, studies and charts distributed to members for discussion and for use in making decisions on institution policy, planning and administrative matters.

Retention  
Permanent. Retain for ten years and then consult with State Archivist regarding transfer to State Archives.  
Routine material submitted at meetings may be destroyed after 2 years as long as summary description is included in the minutes.  
Note: Minutes of the public body are considered to be essential records; therefore, State Archives recommends that the record copy be retained in paper format.

# RECORDS MANAGEMENT MANUAL

## STATE GOVERNMENT AGENCIES

### SCHEDULE NO. 1

#### ADMINISTRATIVE RECORDS

##### **Recordings of Meetings**

Audio or video recordings of meetings.

##### **Executive Sessions**

Per CRS 24-6-402(2)(d.5)(I)(A), "Discussions that occur in an executive session of a state public body shall be electronically recorded".

Retention

90 days after the date of the executive session. [CRS 24-6-402(2)(d.5)(I)(E)]

##### **Open meetings**

Retention

6 months after approval of minutes.

##### **1-3D. Notices of Meetings**

Documentation of compliance with laws requiring posting and distribution of notices of public meetings per CRS 24-6-402(2)(c).

Retention

2 years.

#### **1-4. Colorado Open Records Act (CORA)**

##### **1-4A. Open Records Requests and Supporting Documentation**

See schedule 15, item #8

##### **1-4B. Government Records Access Appeal Case Files**

Case files pertaining to Colorado Open Records Act (CORA) appeals. They contain correspondence, copies of requests, research notes, court documents, and any other documentation concerning the appeal process.

Retention

6 years after case closed, dismissed or date of last action, or thereafter until legal counsel determines that there is no further reference or historical value.

##### **1-5. Correspondence and General Documentation**

Correspondence is a written communication that is sent or received via the U.S. mail, private courier, facsimile transmission or electronic mail created in the normal course of business as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the value of the official governmental data contained therein.

# RECORDS MANAGEMENT MANUAL

## STATE GOVERNMENT AGENCIES

### SCHEDULE NO. 1

#### ADMINISTRATIVE RECORDS

##### **1-5A. Enduring Long-Term Value**

Documentation or correspondence, including e-mail messages, with lasting long-term administrative, policy, legal, fiscal, historical or research value; records that relate to policy issues and actions or activities in which an important precedent is set; records of historic events; and other similar records and documentation.

Retention  
Permanent.

##### **1-5B. Routine Value**

Routine operating documentation or correspondence with limited administrative, legal, fiscal, historical, informational or statistical value. Includes routine e-mail messages, letters or memoranda, reading or chronological files that contain duplicates of memos or letters also filed elsewhere, routine requests for information, transmittal documents, etc.

Retention  
2 years.

##### **1-5C. Transitory Value**

General documentation or correspondence of extremely short-term interest that has 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  
Until material has been read or 90 days. (Follow procedures of Department IT for email).

##### **1-5D. Email**

Email that fits the definition of correspondence should be retained under the correspondence categories listed above. Email attachments should be retained with like record series outside of the email system.

##### **1-6. Forms Development Files**

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

Retention  
1 month after form is discontinued, superseded, or canceled.

##### **1-7. Information Governance/Records Management**

Records relating to the implementation of records management policies/procedures, and the transfer of records to the State Archives.

##### **1-7A. Certificate of Record Disposal**

Destruction certificate submitted to State Archives. Information includes agency name/address, method of destruction and quantity, conversion chart, submittal form of records destroyed.  
[CRS 24-80-103(2)]

# RECORDS MANAGEMENT MANUAL

## STATE GOVERNMENT AGENCIES

### SCHEDULE NO. 1

#### ADMINISTRATIVE RECORDS

Retention

Record Copy: Permanent. Retained by State Archives.

Agency Copy: Permanent.

#### **1-7B. Public Records Registers**

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

Retention

Record Copy, State Archives: Permanent.

Agency Copy: 5 years after records are destroyed.

#### **1-7C. Records Retention and Disposition Schedules**

Document issued by the State Archives listing an agency's records and the retention rules for each record series.

Retention

Record Copy, State Archives: Permanent.

Agency Copy: Until updated or superseded.

#### **1-8. Legislative Records/Proposed Legislation**

Records created by governmental agencies for the purpose of proposing and passing legislation for the department. They include fact sheets containing research information, impact statements, fiscal notes, summaries, formal correspondence/presentations to the Legislature, and other information documenting the proposed legislation.

Retention

Agency records, including Research Information/Fact Sheets, Research Correspondence: 10 years.

Legislative records such as bill versions, fiscal impact statements/notes, committee summaries and reports are retained permanently by the Legislature, and transferred to State Archives.

#### **1-9. Performance Management Records**

Records generated as part of the State Measurement for Accountable, Responsive and Transparent Government (SMART) Act [CRS 2-7-201 – 204]. Records include Department Performance Plans and Performance Evaluations. Performance Plans are posted on the Department web site and a summary of the plan is published annually by the Office of State Planning and Budgeting (OSPB). Records include Department Performance Plans and Performance Evaluations, and reports on analysis, implementation, and operation of programs.

Retention

10 years

#### **1-10. Policy and Procedures**

##### **1-10A. Policy and Procedures and Supporting Documentation**

Written documentation that governs the operation and administration of various programs within the organization. Procedures outline the steps that need to be taken to implement the policy. Includes

# RECORDS MANAGEMENT MANUAL

## STATE GOVERNMENT AGENCIES

### SCHEDULE NO. 1

#### ADMINISTRATIVE RECORDS

documentation relating to the development, establishment, approval and implementation of the policies and procedures.

Retention

10 years after superseded or abolished.

##### **1-10B. Routine Operational Policies and Procedures**

Internal records that document the general office procedures of an agency.

Retention

2 years after superseded or obsolete.

##### **1-11. Publications**

Per CRS 24-90-202(4): "State publication" means any information for public distribution, regardless of format, method of reproduction, source, or copyright that is produced, purchased for distribution, or authorized, with the imprint of, or at the total or partial expense of the agency, with the exception of correspondence, interoffice memoranda, or those items detailed by section 24-72-204. "State publication" includes, without limitation, information available electronically by means of computer diskettes, compact discs, computer tapes, other electronic storage media, or a public telecommunications network.

Retention: Permanent

Transfer four copies to the State Publications Depository and Distribution Center [CRS 24-90-204].

Transfer two copies to State Archives. [CRS 24-1-136(3)(d)]

All other copies: Until no longer needed.

##### **1-12. Reference Files**

These are non-record copies of documents retained strictly for reference and informational purposes; they are not part of any other official files. They include copies of reports, studies, special compilations of data, drawings, periodicals, books, clippings, brochures, catalogs, vendor price lists, etc.

Retention

Until administrative need ends.

##### **1-13. Rule-making Records**

Information an agency relies upon when making a rule per CRS 24-4-101 et. seq.; including but not limited to: Copies of all publications in the Colorado Register; copies of any portions of the agency's public rule-making docket containing entries relating to the rule; all written petitions, requests, submissions, and comments received by the agency, including amendments, or those pertaining to repeal or suspension of the rule; all other written materials, or a listing of such materials, considered by the agency in connection with the formulation, proposal, or adoption of the rule; any official transcript of oral presentations made in the proceeding upon which the rule is based or, if not transcribed, any tape recording of those presentations; a copy of any regulatory analysis or cost-benefit analysis, and any statement from director of the department of regulatory agencies regarding such cost-benefit analysis; a copy of the rule and explanatory statement filed in the office of the Secretary of State; notice of proposed rule-making request; request for AG opinion/AG opinion.

##### **1-13A. Secretary of State Publications**

Colorado Register (notice, adopted Statement of Basis and Purpose, specific statutory authority, adopted Regulatory Analysis, adopted rule); Colorado Code of Regulations (CCR).

# RECORDS MANAGEMENT MANUAL

## STATE GOVERNMENT AGENCIES

### SCHEDULE NO. 1

#### ADMINISTRATIVE RECORDS

Retention

Permanent. Retained by Secretary of State.

**1-13B. Agency/Board Rule-making Records**

May include requests for hearing, hearing packet, notices of hearing, written testimony, untimely written testimony, hearing sign-in sheets, petitions, evidence of filings, errata sheets or supplemental amendments, local government mandate submissions and approvals to OSPB, legal review of the rulemaking, cost benefit analysis, regulatory analysis, handouts and presentation material, audio recordings.

Retention

7 years.

**1-13-C. Local Government Mandate Reports**

Submissions to/approvals by Office of State Planning and Budgeting.

Retention

Permanent. Retain until submitted to the General Assembly and then consult State Archivist regarding transfer to State Archives.

**1-13-D. Executive Session Audio Recordings**

See item 1-3C

90 days. Note: If records are subject to judicial review, retain 6 years after review is concluded.

**1-13-E. Judicial Review of Rule-making Records**

Retention

6 years after review is concluded.

**1-13-F. Administrative Hearings/decisions Issued by the Board as Authorized by Rule or Comparable Legal Authority**

Retention

5 years after date of decision. Note: If records are subject to judicial review, retain 6 years after review is concluded.

**1-14. Working Papers and Other Preliminary Working Material**

Papers that have short term use such as documents of a preliminary or working nature that do not represent significant steps in the preparation of the final version of documents. Also included are finding aids such as indices that are necessary for the efficient use of other records.

Retention

Until administrative need ends.