



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

ARCHIVES NO. 17-29

DEPARTMENT Regulatory Agencies	DIVISION Real Estate	SECTION All Sections	PERMANENT NON-PERMANENT <input checked="" type="checkbox"/>
ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
1	Rulemaking Hearing Recordings	90 days following the completion of all administrative and judicial review procedures	Note: No record shall be destroyed that pertains to any pending legal case, claim, action or audit. §24-4-103(8.1), C.R.S. and SARMM 4-1
2	Executive Session Recordings	90 days	§24-6-402(2)(d.5)(1)(E), C.R.S.
3	Original license, renewal, reinstatement and transfer applications and supporting documents for real estate brokers, including limited liability companies, corporations and partnerships (active and inactive); appraisers; appraisal management companies; mortgage loan originators; subdivision developers; and community association managers	7 years + current year	§12-61-112(2), C.R.S.; §12-61-704(2), C.R.S.; §2-61-905(8), C.R.S.
4	License Denials resulting from Board or Commission Action A) Application B) Supporting documentation C) Correspondence	2 years + current year	§24-4-104(7) and §24-4-104(9), C.R.S.
5	Original certificate and renewal applications and supporting documents for conservation easement holders	Until Compliance Review Completed and Approved	§24-4-104(7) and §24-4-104(9), C.R.S.

I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I am authorized to act for the head of this agency in matters pertaining to disposal of records. I also certify that I will comply with all conditions listed on page 4-10 of the Records Management Policies and Procedures Manual.

State Archivist's Signature <i>[Signature]</i>	Date 3/20/2017	Records Liaison Officer's Signature <i>[Signature]</i>	Date 11/4/16
Attorney General's Signature	Date	State Auditor's Signature <i>[Signature]</i>	Date 2/13/17



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

ARCHIVES NO.

DEPARTMENT Regulatory Agencies		DIVISION Real Estate		SECTION All sections		PERMANENT NON-PERMANENT <input checked="" type="checkbox"/>	
ITEM NO.	DESCRIPTION	RETENTION PERIOD		SPECIAL INSTRUCTIONS			
6	Complaints and Investigative Files* resulting in dismissal	1 year		Note: No record shall be destroyed that pertains to any pending legal case, claim, action or audit. *Investigative Files are prepared by the investigator and include correspondence, data and documents gathered, attachments, exhibits and notes.			
7	Complaints and Investigative Files* resulting in stipulation	Retain by agency until disciplinary terms have been completed, and then may destroy					
8	Complaints and Investigative Files* resulting in a final agency action after hearing	Retain by agency until exhaustion of all remedies, and then may destroy		Statutory citations for complaints, audits and investigations are: §12-61-113(5), C.R.S., §12-61-1010(4), C.R.S., §12-61-704(2), C.R.S., §12-61-905.5(5), C.R.S.			
9	Complaints against homeowner associations	Retain by agency until mandatory annual report is published and released, then may destroy					
10	Real estate brokerage audit investigations resulting in no action*	1 year					
11	Real estate brokerage audit investigations resulting in corrective action*	2 years					
12	Course Approvals	4 years following date of course expiration		NMG			
13	Course Denials	2 years		NMG			
14	Recovery Fund files resulting in dismissal of claim	1 year following exhaustion of all remedies, then destroy.		§12-61-301, et. seq. (Repealed)			

I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I am authorized to act for the head of this agency in matters pertaining to disposal of records. I also certify that I will comply with all conditions listed on page 4-10 of the Records Management Policies and Procedures Manual..

State Archivist's Signature <i>[Signature]</i>	Date 3/20/2017	Records Liaison Officer's Signature <i>[Signature]</i>	Date 11/4/16
Attorney General's Signature	Date	State Auditor's Signature <i>[Signature]</i>	Date 3/13/17



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

ARCHIVES NO.

DEPARTMENT Regulatory Agencies	DIVISION Real Estate	SECTION All Sections	PERMANENT NON-PERMANENT <input checked="" type="checkbox"/>
ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
15	Criminal Histories obtained from the Colorado Bureau of Investigations and the Federal Bureau of Investigations for license applications	60 days following issuance of license or exhaustion of remedies if license denied	§24-4-104(7) and §24-4-104(9), C.R.S.
16	Documents pertaining to Department of Revenue consultations on conservation easements	Until tax dispute is resolved, and then may destroy.	§39-21-113, C.R.S.
17	Appraisals submitted pursuant to C.R.S. §12-61-719 (repealed)	1 year	SARMM 6-2
18	Denials of conservation holder certification A) Application B) Supporting documentation C) Correspondence	Retain by agency until exhaustion of all remedies, and then may destroy	§24-4-104(9), C.R.S. and §24-4-104-(7), C.R.S.
19	Supporting documentation and the Division's work file for tax credit certification and preliminary advisory opinion applications	1 year following issuance decision or until all remedies have been exhausted.	§12-61-727, C.R.S.

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

I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I am authorized to act for the head of this agency in matters pertaining to disposal of records. I also certify that I will comply with all conditions listed on page 4-10 of the Records Management Policies and Procedures Manual..

State Archivist's Signature <i>Alynn</i>	Date 3/20/2017	Records Liaison Officer's Signature <i>Lauren Ramsey</i>	Date 11/4/16
Attorney General's Signature	Date	State Auditor's Signature <i>Heidi Hunter</i>	Date 3/13/17



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

ARCHIVES NO.

DEPARTMENT Regulatory Agencies	DIVISION Real Estate	SECTION All Sections	PERMANENT <input checked="" type="checkbox"/> X NON-PERMANENT <input type="checkbox"/>
--	--------------------------------	--------------------------------	---

ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
1	Informal and Formal Disciplinary Actions A) Investigator's report B) Hearing Record* C) ALJ's Initial Decision D) Letters of Admonition, Stipulations, Injunctions/Cease and Desist Orders E) Final Agency Order and/or Exceptions G) Appellate Record** H) Appellate Opinions G) Supporting documentation for disciplinary action compliance * The hearing record consists of legal pleadings, transcripts and exhibits from the Office of Administrative Courts. **The appellate record consists of the hearing record and exceptions compiled and transmitted to the Court of Appeals.	Permanent	Note: No record shall be destroyed that pertains to any pending legal case, claim, action or audit.
2	Recovery Fund files resulting in a payment from the fund	Permanent	
3	Public Meeting Recordings	Permanent	
4	Tax credit certification and preliminary advisory opinion applications: A) Examiner's report B) Checklist C) Settlement agreement and supporting memorandum, if applicable. D) Denial and approval letters E) Hearing Record* F) ALJ's Initial Decision	Permanent	

I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I am authorized to act for the head of this agency in matters pertaining to disposal of records. I also certify that I will comply with all conditions listed on page 4-10 of the Records Management Policies and Procedures Manual..

State Archivist's Signature <i>[Signature]</i>	Date 3/20/2017	Records Liaison Officer's Signature <i>[Signature]</i>	Date 11/4/16
Attorney General's Signature	Date	State Auditor's Signature <i>[Signature]</i>	Date 3/13/17



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

ARCHIVES NO.

DEPARTMENT Regulatory Agencies	DIVISION Real Estate	SECTION All Sections	PERMANENT <input checked="" type="checkbox"/>
			NON-PERMANENT <input type="checkbox"/>

ITEM NO.	DESCRIPTION	RETENTION PERIOD	SPECIAL INSTRUCTIONS
4	G) Final Agency Order and/or Exceptions H) Appellate Record** I) Appellate Opinions *The hearing record consists of legal pleadings, transcripts and exhibits from the Office of the Administrative Courts. **The appellate record consists of the hearing record and exceptions compiled and transmitted to the Court of Appeals.	Permanent	Note: No record shall be destroyed that pertains to any pending legal case, claim, action or audit.

I request approval of the above records disposition schedule. Retention periods have been established by this agency after careful evaluation of all of the factors listed in the State Records Management Policies and Procedures Manual. I hereby certify that I am authorized to act for the head of this agency in matters pertaining to disposal of records. I also certify that I will comply with all conditions listed on page 4-10 of the Records Management Policies and Procedures Manual..

State Archivist's Signature <i>[Signature]</i>	Date 3/20/2017	Records Liaison Officer's Signature <i>[Signature]</i>	Date 12/4/16
Attorney General's Signature	Date	State Auditor's Signature <i>[Signature]</i>	Date 3/13/17