

# RECORDS MANAGEMENT MANUAL

## STATE GOVERNMENT AGENCIES 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.

#### **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.

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#### **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.

#### **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