

BUD Budget Office

Note: In addition to the retention periods shown below, the Auditor General states, "If federal funds are involved, and federal program guidelines apply to the agency or the particular program, the state agency must comply with applicable federal record retention requirements."

BUD1 Budget Officer Subject Files

Provides a record of subjects and issues referenced, reviewed, monitored, or acted upon by individual budget officers. Includes memos, letters, and background support materials, secondary copies of reports and minutes, and related correspondence.

Retention: Permanent.

Note: Citations to materials published elsewhere, such as legislation, may be kept instead of the actual materials.

BUD2 Budget Officer Chronological Correspondence

Provides a record of chronologically arranged outgoing correspondence from the Budget Office.

Retention: Retain until of no further administrative value, or three (3) years, whichever period is longer.

BUD3 Personnel Position Approval Files

Documents Budget Office's approval of positions proposed by departments. Includes requests for approval, approval letters, correspondence with DOA Personnel, and other related correspondence.

Retention Retain ten (10) years.

BUD4 Budget Instructions/Funding Targets Records

Documents the preparation of yearly budget instructions to be issued by the Office at the beginning of the budget submission process. Includes background materials, legislation, individual agency funding targets, expenditure, revenue, and other data provided to agencies, and related correspondence. Data is retained and managed in the Office's SABRS database (State Agency Budget and Reporting System).

a) Substantive materials used to change preexisting instructions, and final budget instructions

Retention: Permanent.

b) All other records

Retention: Retain until of no further administrative value, or three (3) years, whichever period is longer.

BUD5 Departmental Budget Request Records

Records in this series document agencies' budget submissions as well as Budget Office's review, analysis, and preparation of budget recommendations by the Governor for final approval by the House and Senate. Records cover original departmental operating and capital budget submissions. Other documentation may include, but is not limited to,

completed Budget Office forms, agency project narratives and justifications, and expenditure plan adjustments, proposed program structure changes, cost information, and agency annual performance reviews, agency revenue estimates, asset protection, expenditures, Capital Improvement Plans, general maintenance, vehicle replacement plans, and other documentation related to operating and Capital Budgets. Also includes budget analyst recommendations, department responses, and related documentation.

Retention Permanent.

BUD6 Agency Budget Correspondence

Documents are comprised of correspondence between the Budget Office and individual departments. Includes memos, letters, notes, attachments, and related correspondence.

Retention: Retain ten (10) years.

Note: General Records Schedule, GRS1.1 governs agency executive-level correspondence.

BUD7 Appropriation Bill Records

Documents departmental budget requests that were approved by the legislature. Includes the appropriations bill as submitted, amendments, and budget analyst explanations and attachments.

Retention Permanent.

Note: Citations to materials published elsewhere, such as legislation, may be kept instead of the actual materials.

BUD8 Quarterly and Monthly Allotment and Advice Records

After annual appropriation bill or bills have been passed by the General Assembly and signed by the Governor, the Budget Office determines quarterly or monthly allotments, in accordance with seasonal requirements, and division of amounts to be expended under each appropriation. The Budget Office makes initial determinations within statutorily specified period of time after the signing of the annual appropriations bill by the Governor. A copy of the initial determination is forwarded to the chairperson of the House Finance Committee and the chairperson of the Senate Finance Committee. Copies of subsequent determinations as well as other relevant documentation affecting allotments are forwarded to the Office of Accounts and Controls. Allotments are entered into the accounting system which agencies are then able to access (RIGL § 35-3-17).

Retention: Retain ten (10) years.

BUD9 Fiscal Impact Notes

The records in this series document responses to requests from the House or Senate for fiscal impact analysis of enacted appropriation bills. Includes requests, comments and materials from state agencies, the legislation, the final fiscal impact note response memos or forms, and related correspondence.

Retention Permanent.

Note: Citations to materials published elsewhere may be kept instead of the actual materials such as the legislation.

BUD10 Quarterly Agency Reports

State agencies are required to submit quarterly reports that project their budget status. Records include agency submissions and Budget Office reports, which are required to be submitted within forty-five days of the end of each quarter.

Retention: Retain ten (10) years.

BUD11 Debt Issuance Documentation

The Budget Office is involved in the issuance of general obligation debt as well as debt subject to annual appropriation. Documentation relates to rating agency reports, final closing documents, and documents contained in closing binders and debt service schedules submitted to the State Controller for input into the debt data management system for financial reporting purposes.

Retention: Retain until end of term of debt and thereafter, until of no further administrative value, or three (3) years, whichever period is longer.

BUD12 Revenue Estimating Conference Records

The State Revenue Estimating Conference was created by the General Assembly in 1990 to provide the Governor and General Assembly with estimates of general revenues. Along with the House Fiscal Advisor, and the Senate Fiscal Advisor, the State Budget Officer is a principal of the conferences. The conference convenes at least twice every year, as required by statute. Documentation is related to matters of testimony, conference guest speakers, and final conference report.

Retention: Permanent.

BUD13 Tobacco Settlement Financing Corporation Records

In 2005, the General Assembly created and established, a public corporation of the state having a legal existence distinct from the state and not constituting a department of state government, known as the Tobacco Settlement Financing Corporation (RIGL 42-133-1 Tobacco Settlement Financing Corporation Act). The law empowered the Corporation to acquire from the state that portion of the tobacco receipts the state received by virtue of a

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Records Retention Schedule

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Master Settlement Agreement¹ with four tobacco companies and to issue bonds based on the purchase of these receipts from the state. The Budget Office was involved in the issuance of debt for the Tobacco Settlement Financing Corporation. Documentation relates to the rating agency reports, economic analysis of cigarette consumption, final closing documents, and annual financial statements and audits of the Corporation.

Retention: Retain until end of term of debt and thereafter, until of no further administrative value, or three (3) years, whichever period is longer.

BUD14 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable records retention schedules. (RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10)

Retention: Permanent.

¹ "Master settlement agreement" refers to a settlement agreement and related documents entered into on November 23, 1998, by the state and the four (4) principal United States tobacco product manufacturers, as amended and supplemented.