

# RECORDS RETENTION AND DISPOSITION SCHEDULE

## SPECIFIC SCHEDULE NO. 122-001

AGENCY: Department of Planning and Budget

DIVISION: Budget Development and Execution

SUBUNIT:

This schedule is continuing authority under the provisions of the Virginia Public Records Act, §§42.1-76 et seq. Code of Virginia, for the retention and disposition of the records as stated. This schedule supersedes previously approved applicable schedules. Request approval on Form RM-3, Certificate of Records Disposal, before the destruction of record series noted in this schedule. Any records created prior to the Constitution of 1902 must first be offered to the LVA before applying these disposition instructions.

AGENCY APPROVAL

STATE APPROVAL

AGENCY HEAD OR DEPUTY *Richard D. Bay* ST. RECORDS ADMINISTRATOR *C. Preston Huff*  
 AGENCY RECORDS OFFICER *Janet Hamish* COMPTROLLER OR DEPUTY \_\_\_\_\_

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This schedule supersedes the existing Department of Planning and Budget (DPB) schedule 122-003.

1. Appropriation/Allotment/FTE Employment Adjustment Requests  
 Administrative adjustments in the appropriation of agency funds or employment levels, as enacted by the General Assembly (Forms 27 and 27A).
  - a. Record copy (paper) Retain in DPB central files for 3 years, then destroy.
  - b. Electronic copies Retain 3 years, then destroy.
  
2. Budget Action Reports (BAR)  
 Weekly report prepared during the General Assembly session for the Governor's Office on legislative committee actions affecting the budget.
  - a. Electronic files Retain until end of General Assembly session, then delete.
  - b. Final reports (hard copy) Retain in DPB central files for 5 years after end of General Assembly session; then destroy by shredding or pulping.

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| 3. | <u>Budget Bills</u><br>The Governor's proposed appropriations for a biennium or his proposed amendments to a previous Appropriation Act.       |   |
| a. | Record copy  | Retain permanently in DPB Library.  |
| b. | Background materials   | Retain in DPB's Budget Operations Section or central files for 4 years after the end of the related biennium, then destroy. |
| c. | Reference or duplicate copies  | Retain until no longer needed for reference, then destroy.  |
| 4. | <u>Budget Development Submission Documents</u><br>Budget requests submitted by state agencies for use in development of the Governor's budget. |   |
| a. | Record copy  | Retain in DPB central files for 4 years after the end of the related biennium, then destroy.                                |
| b. | Reference copies   | Retain until no longer needed for reference, then destroy.  |
| c. | Final tracking summary reports   | Retain in DPB's Budget Operations Section or central files for 12 years, then destroy.                                      |
| d. | "Outyear" agency estimate reports  | Retain in DPB's Budget Operations Section or central files for 12 years, then destroy.                                      |
| 5. | <u>Budget Execution Support Documents</u><br>Documents executing the Appropriation Act.  |   |
| a. | Record copy  | Retain in DPB central files for 4 years after the end of the related biennium, then destroy.                                |
| b. | Reference or administrative copies   | Retain until no longer needed for reference, then destroy.  |

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6. Capital Budget Requests

State agencies' explanation of and requests for future capital funding.

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|----|---------------------------------|--|
| a. | Original requests               | Retain in DPB central files for 4 years after the end of the related biennium, then destroy. |
| b. | Maintenance reserve update plan | Retain in DPB central files for 4 years after the end of the related biennium, then destroy. |
| c. | Reference copies                | Retain until no longer needed for reference, then destroy.                                   |
| d. | Analysts' working papers        | Retain until no longer needed for reference, then destroy.                                   |

7. Capital Outlay Project Files

Records documenting DPB oversight of ongoing capital outlay projects.

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|----|--------------------|---|
| a. | Completed projects | Retain 2 years after receipt of Project Completion Report (DGS CO-14), then transfer to the Library of Virginia (LVA) Records Center. Retain in Records Center 8 years, then destroy. |
| b. | Unfunded projects  | Retain until no longer needed for reference, then destroy.  |

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8. Decision Briefs

Policy decisions by key decision-makers on budget-related issues affecting the Commonwealth.

## a. Original briefs

Retain in DPB central files 10 years, then transfer to the LVA Description Services Branch for permanent retention.

## b. DPB record copy

Transfer to appropriate file listed elsewhere in this schedule.

## c. Reference or administrative copies

Retain until no longer needed for reference, then destroy.

9. Executive Bill Tracking

DPB system to track special interest legislation introduced in a General Assembly session.

## a. Daily reports

Retain until end of General Assembly session, then destroy.

## b. Final reports

## (1) Record (paper) copy

Retain 10 years, then destroy.

## (2) Electronic copies

Retain in DPB central files until end of General Assembly session, then destroy.

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| 10. | <u>Executive Budget Document</u><br>Detailed narrative prepared annually by DPB, explaining the Governor's budget recommendations as contained in the Budget Bill, and reporting on the Condition of the Commonwealth. |   |
| a.  | Archival copy  | Send one copy to LVA Description Services Branch for permanent retention.   |
| b.  | Record copy  | Retain one copy permanently in DPB Library. Transfer 20 copies to LVA Documents Section ( <i>Code of Virginia</i> § 2.1-467.2). |
| c.  | Reference copies   | Retain until no longer needed for reference, then destroy.  |
| d.  | Working papers   | Retain until no longer needed for reference, then destroy.  |
| 11. | <u>Federal Budget Report</u><br>DPB report on the impact of the federal budget on the Commonwealth.  |   |
| a.  | Final report   | Retain in DPB Library for 3 years, then destroy.  |
| b.  | Supporting documents   | Retain until no longer needed for reference, then destroy.  |
| 12. | <u>Fiscal Impact Statements (FIS)</u><br>State agency (including DPB) analysis of introduced House and Senate bills, which have probable statewide fiscal, program, and/or policy impact.                              |   |
| a.  | Original statements and revisions  | Retain in DPB Library for 2 years, then transfer to LVA Records Center. Retain in Records Center 3 years, then destroy.         |
| b.  | Administrative copies  | Retain until no longer needed for reference, then destroy.  |

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| 13. <u>General Provision Review for Agency Heads</u><br>Annual DPB review of any changes to the language of the General Provisions in Part 4 of the Appropriation Act.                       |   |
| a. Final report  |   |
| (1) Archival copy  | Send one copy to LVA Description Services Branch for permanent retention.   |
| (2) DPB record copy  | Retain one copy in DPB central files for 6 years, then destroy.   |
| (3) Reference copies   | Retain until no longer needed for reference, then destroy.  |
| b. Working papers  | Retain until no longer needed for reference, then destroy.  |
| 14. <u>Governor's Briefing Notebooks</u><br>Informational notebooks prepared by DPB for the Governor, his staff and Cabinet Secretaries to facilitate decision-making in the budget process. | Retain in DPB central files for 10 years, then transfer to the LVA Description Services Branch for permanent retention. |
| 15. <u>Guidance Memorandums</u><br>Copies of DPB guidance to state agencies prior to preparation of their budget submissions.  |   |
| a. Master notebooks  | Retain in DPB central files for 4 years after the end of the related biennium, then destroy.                            |
| b. Administrative copies   | Retain until no longer needed for reference, then destroy.  |
| c. Working papers  | Retain until no longer needed for reference, then destroy.  |

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16. Issue Papers

Internal policy decisions on proposed language to the General Provisions and other language in the Budget Bill.

a. Record copy

Retain in DPB central files for 10 years, then transfer to the LVA Description Services Branch for permanent retention.

b. Administrative copies

Retain until no longer needed for reference, then destroy.

17. Legislative Guidance Memorandums and Decision Summaries

DPB review and recommendation of state agency legislative proposals to be submitted to the General Assembly.

a. Record copy

Retain in DPB central files for 4 years after the end of the related biennium, then transfer to the LVA Description Services Branch for permanent retention.

b. Reference copies

Retain until no longer needed for reference, then destroy.

18. Non-State Agency Submissions

Non-State agency requests to DPB for state funding, and DPB's official approval or denial of those requests.

a. Record copies

Retain in DPB central files for 4 years after the end of the related biennium, then destroy.

b. Administrative copies

Retain until no longer needed for reference, then destroy.

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19. Program and Expenditure StructureAdditions and Updates

Preliminary revisions and/or updates of the Commonwealth's program budgeting system and expenditure categories.

## a. Updates and revisions

Retain in DPB central files for 6 years, then transfer to LVA Description Services Branch for permanent retention.

## b. Working papers

Retain until no longer needed for reference, then destroy.

20. Recommendation Summary Sheets

Internal analysis of state agencies' budget requests for funding, and analyst's recommendations.

## a. Notebooks

Retain in DPB central files for 10 years after the end of the related biennium, then destroy.

## b. Administrative copies

Retain until no longer needed for reference, then destroy.

## c. Working papers

Retain until no longer needed for reference, then destroy.

21. Six-Year Capital Outlay Plan

The Commonwealth's long-range plan for capital expenditures (major construction or renovation).

## a. Final plan

Retain permanently in DPB central files.

## b. Working papers

Retain in DPB central files for 2 years after completion of the plan, then destroy.

## c. Copies

Retain until no longer needed for reference, then destroy.

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22. Six-Year Revenue Report

Economic projections of anticipated revenues for the next six years.

a. Revenue estimate report

Retain in DPB Library for 6 years, then destroy.

b. Supporting documentation

Retain until no longer needed for reference, then destroy.